INSPECTION CHECKLIST - PURCHASES

DEPARTMENT OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM	COMMENDED TO AND	SEIBE	BIDDI DASTAL PUT SON D	Date		ş
NSTRUCTIONS: Answer individual items with "Yes" or "No" answ ppicable legal statures, or deficiencies noted in the inspections st iscrepancies and/or deficiencies shall be documented on an Exo- urithermore, the Exceptions Document shall include any follow-up ispection, the "Follow-up Inspection" box shall be marked and on	iali be comme epitons Docum and/or come	inted on via nent and add dive action()	the "Remai pressed to t s) taken. If	nks" section. The next level this form is u	Additionali of comma	y, such ind.
YPE OF INSPECTION Division. Level Executive Office Level Voluntary Self-Inspection	Sg1	eccors Signal	L Ax	terber 1	/	
Follow-up Required: Yes No Follow-up Inspection or applicable policy, refer to: HPM 11.2, Chapter 7	ATTENNATIONS OF	ers Signatur Eleneny		H-100-100-2-6	12/3	1/08
 Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing? 	∑ Yes	∏ No	□ N/A	Remarks		
Have Approvers/reviewers of purchases received procurement training?	Yes	⊠ No	□ N/A	Remarks:	ub RE	Ques nei
3. Are prohibited items procured on CHP 43, Purchase Requisitions? • Supplies for personally – owned equipment • Commodities for personal use • Confirming order • Purchases via the internet	S Yes	⊠ No	ANA 🗆	Remarks:		
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	X Yes	□ Nio	□ N/A	Remarks:		
5. is all required information entered on the CHP 43, Purchase Requisition?	Ŋ Yes	□N₀	□ N/A	Remarks:		
 Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)? 	☑ Yes	□No	□ N/A	Remarks:		***************************************
 Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approvat? 	☐ Yes	□ No	I⊠ N/A	Remarks:		

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INSPECTION CHECKLIST – PURCHASES (continued)

				Page 2 of 3
STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST Chapter 3, Command Procurements Purchases		•		
Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	Yes	∏ N₀	⊠ N/A	Remarks:
Are the CHP 43, Purchase Requisitions, competitively trid?	, ⊠ Yes	□No	□ N/A	Remarks:
10. Does the CHP 316, Price Companson Worksheet, document at least two price quotations?	X Yes	□N₀	□ N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	Yes	□ Nio	AIN KŽĮ	Remarks:
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	Yes	□N₀	Drw/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	∏ No	Ď₹NIA	Remarks.
14. Are items checked immediately for content and damage when delivered?	[X]'Y≥s	□N₀	□ N/A	Remarks
15. Is the "repeived copy" of the purphase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	XX Yes	□No	□ N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	Yes	J⊋ No	□ N/A	REMAINS: TRAINING REQUESIED
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	☐ Yes	□ No	⊠∕N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	☐ Yes	□No	™ N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	Yes:	□ No	M NIA	Remarks:
Ca-Hr 8800 (Mex. 88-08) (OFT 010	L			

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INSPECTION CHECKLIST - PURCHASES (continued)

				Page	3 of 3
STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST Chapter 3, Command Procurements Purchases					
20. Is Purchasing Services Unit (PSU) notified	,				
immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 42 is no longer needed and a purchase order has not	Yes	□ No	ANA 🔀	Remarks:	
yet been prepared?					j
21. Are open purchase orders periodically reviewed and			ļ		
investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	☑ Yes	□ No	□ N/A	Remarks:	
 Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4) 	[X] Yes	□ Nio	□ N/A	Remarks:	
 Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11) 	Æ Yes	□No	□ N/A	Remarks:	
Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	.¥¶No	□ N/A	Remarks:	

					*
S.					
P 880C (Nev. 0 t-08) OPI 010					

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HPM 22.1

ANNEX B

INSPECTION CHECKLIST - CAL-CARD PROGRAM

Chapter 3, Command Procurements Cal-Card Program	ommana: An (au L yalitateo by 61, 5 M 66 isted by: TREVOC L	EIBERT	=======================================	Date Date	2/31/08
NSTRUCTIONS: Answer individual items with "Yes" or "No" answipplicable legal statues, or deficiencies noted in the inspections studies reparations and compenies on an Exception of the Exceptions Document shall include any follow-up aspection, the "Follow-up inspection" box shall be marked and only	all be commi ptions Docum andlor come	ented on via nent and ad mins aminn/	the "Rema dressed to	the next level	Additionally, such
YPE OF INSPECTION	Lead inst	ectors Signa	uure:	1_	
Division Level Command Level	St	Steph	~# SI	thet.	
Executive Office Level Voluntary Self-Inspection	1	/			
Follow-up Required:		iers Signawr			Date:
	1.	Han	y us	,	1231-18
or applicable policy, refer to: HPM 11.2, Chapter 3					
 Are all employees associated with the use of the Cal- Card program completing the CHP 785, Conflict of Interest Statement. Employee, form? 	X Yes	□ No	□ N/A	Remarks	T
 Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized? 	Yes	[À No	□ NÆ	Remarks:	
 Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized? 	☐ Yes	⊠ No	□N/A	Remarks:	
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	Yes	⊠ No	□ N/A	Remarks:	
5. If the vendor is a small business or DV8E is utilized, is the certification letter from the Department of General Services maintained in the file?	☐ Yes	⊠ No	□N/A	Remarks.	
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	☑ Yes	□No	□ N/A	Remarks:	
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	☐ Yes	[X] Njo	□ N/A	Remarks:	
Does the CHP 317 Cel Card Log fully describe the purchase?	≥ Yes	□ Nio	□ N/A	Remarks:	
Are bank statements reconciled with the CHP 317	¥ Yes	□N₀	□ N/A	Remarks:	· · · · · · · · · · · · · · · · · · ·

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HPM 22.1

ANNEX B

INSPECTION CHECKLIST - CAL-CARD PROGRAM (continued)

TATE OF GALESCOAN				Page 2 of 2
TATE OF CALIFORNIA EPARTMENT OF CAUFORNIA HIGHWAY PATROL				
OMMAND INSPECTION PROGRAM				
hapter 3, Command Procurements				
al-Card Program				
10. Are credit invoices/receipts for returned items				The same
maintained with the bank statement?	⊠ Yes	∏ Ni¤	□ N/A	Remarks:
11. Do non-itemized purchase repaints/invoices document the purchase by listing the commodit	y. 🛭 Yes			Remarks:
quantity, and unit price of the item(s) purchased	ion Pas	□ No	□ N/A	
the bank statement.			ĺ	
12. Are Call Cards maintained in a secure area?	☑ Yes	□No	□ N/A	Remarks:
13. Are Oal Card purchases pre-approved by the commander?		□N□		Remarks:
	Yes Yes	□ IAB	□ N/A	
14. Have all cardholders received training on the Department's procurement processes?	Yes	□ No	□ N/A	Remarks:
15. Are item(s) purchased with the Cal Card prohibit	and I			TRAINING PERPORSIZED
by departmental policy?	☐ Yes	(₹) No	□ N/A	Remarks:
			£	
			*	
			**	
			*	

ANNEX C

INSPECTION CHECKLIST - X NUMBER PROGRAM

STATE OF CALFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST Chapter 3, Command Procurements X-Number Program	Assisted by:	U 16 Wilson	1 Diss	Date:	213, 608 213, 108.
NSTRUCTIONS: Answer individual items with "Yes" or "No" and applicable legal statues, or deficiencies noted in the inspections of iscrepancies and/or deficiencies shall be documented on an Experimenter, the Exceptions Document shall inducie any follow-unaspection, the "Follow-up Inspection" box shall be marked and o	shall be comme ceptions Docum ip and/or corre	ented on via nent and ad cilve actions	the "Remai pressed to s) taken. If	nks" section the next level this form is u	Additionally, such
YPE OF INSPECTION	Leadins	ecors/Sign	uurea	^ // ·	
Division Level D-Command Level	Sit.	Styl	A.Je	let !	
Executive Office Level	ion	·		'	
Follow-up Required:		iera Signatui			Date:
▼ Yes No	18.1	throng	ines		12.31-18
for applicable policy, refer to: HPM 11.1, Chapter 23		D'			
 Are multiple X Numbers awarded to the same vend to circumvent the \$4,699 contract limit? 	or Yes	≥ No	□N/A	Remarks:	
Does all X Number file documentation contain the STD. 204 Payee Data Record?	<u></u> ¥Yes	□ No	□ N/A	Remarks:	
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	Yes Ves	□ No	□ N/A	Remarks:	
4. Are X Number requests made prior to the date the services are performed?	X Yes	□ Nio	□ N/A	Remarks:	
5. Are X Numbers issued for a one-time use?	X Yes	□No	□N/A	Remarks	
Are prohibited services performed using an X Number?	☐ Yes	Ø No	□ N/A	Remarks:	
 Are X Numbers used for the procurement of a service and not the purchase of a commodity? 	₩ Yes	□ No	□ N/A	Remarks:	
 Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section? 	☐ Yes	☐ Nio	⊠ N/A	Remarks:	
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	∑ Yes	□ N⁄o	□ N/A	Remarks:	V
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	Yes	∏ Nio	⊠ N/A	Remarks;	
B 6(1)() (100r)					

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ANNEX C

INSPECTION CHECKLIST – X NUMBER PROGRAM (continued)

ST.	ATE OF CALIFORNIA				Page	2 of 2	
C	PARTMENT OF CALIFORNIA HIGHWAY PATROL OMMAND INSPECTION PROGRAM					San	
N	SPECTION CHECKLIST napter 3, Command Procurements						
	Number Program						
	Do all X Numbers awarded to a non-small business vendor contain three price quotations?	[☑ Yes	□N₀	□ N/A	Remarks:		
	12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	☐ Yes	[≱d No	□ N/A	Remarks:		
	Does the file documentation contain the STD, 21 Drug Free workplace certification for X Number vendors?	☐ Yes	Ĭ X Î No	□ N/A	Remarks:		
	Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□N□	□ N/A	Remarks:		-
	15. Is the itemized invoice for each X Number service maintained in the command's files?	Yes	□ N ₀	□ N/A	Remarks:		
			5				
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HPM 22.1

INSPECTION CHECKLIST - CONTRACTS

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL COMMENTATION OF CALIFORNIA HIGHWAY PATROL	eprograme.	17	Majalon:	Nun	Der:	_
COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST	In h (h Valualed by:	42 (INT ENE	Date	CZ Y	_
- Toward Strict Top 1	267/2/	ETALTH	,	17	131/68	
	TREUDR	Wilson	055\$	Date	2/310	8
INSTRUCTIONS: Answer individual items with "Yes" or "No" answapplicable legal statues, or deficiencies noted in the inspections statiscrepancies and/or deficiencies shall be documented on an Excelentation of the Exceptions Document shall include any follow-up inspection, the "Follow-up inspection" box shall be marked and only	ptions Doo	ment and a	doressed to	arks section. the next level	Additional	y, such
TYPE OF INSPECTION	Lead ins	peccers Sign	ature: .	// 6		
Division Level Gommand Level	I C	Stor	(Hs	(f) I		
Executive Office Level Voluntary Self-Inspection	, 1 -91	· / ep	U Cinc			ŭ.
Follow-up Required: Follow-up Inspection Yes No		ders Signam Klunn		N - 2 - 2 - 3	Date:	31-08
or applicable policy, refer to: HPM 11.1, Chapter 22		G.	0			
 is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value? 	Yes	☐ No	N/A	Remarks:		******
 Is a CHP 78 Contract Request used for one-lime services exceeding \$4,889.99? 	☐ Yes	□ No	Ø N/A	Remarks:		
 Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "OP" for contract payable listed on the OHP 78? 	☐ Yes	□No	ANA EX	Remarks:		
Is the performance of contract services monitored and documented?	Yes	□No	□ N/A	Remarks:		
5. Are all copies of correspondence with the vendor maintained?	∀es	□ Mo	□ N/A	Remarks:		
6. Are letters for contracts documented and maintained which outline any problems related to substantiard or non-performance of the vendor?	☐ Yes	□ No	₩ N/A	Remarks		
 Is the final product to be delivered described specifically and in as much detail as possible in the GHP 78? 	☐ Yes	□ N40	M N/A	Remarks:		
 Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1. Chapter 22, before forwarding the CHP 78 or CHP 78A? 	Yes Yes	□ No	□ N/A.	Remarks:	W 1835	
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INSPECTION CHECKLIST - CONTRACTS (continued)

STATE OF CAUFORNIA				Ź
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM				
INSPECTION CHECKLIST Chapter 3, Command Procurements Contracts				
9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□No	№ N/A	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	☐ Yes	□ No	N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	X Yes	□No	□ N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□Nio	□ N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	Yes	□No	⊠ N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	∑ Yes	□ No	□ N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⅓ Yes	□ No	□ N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	Yes	□ No	☑ N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	∏ Yes	Mo	ÀT N∕A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	∭ Yes	□ No	□ N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	☐ Yes	□ No	⊠ N/A	Remarks:
20. Are contract emendment request dollar amounts increased more than 30%?	☐ Yes	□N₀	AIN 🖫	Remarks:

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INSPECTION CHECKLIST - CONTRACTS (continued)

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL					
COMMAND INSPECTION PROGRAM NSPECTION CHECKLIST					
Chapter 3, Command Procurements Contracts					
21. Is the length of the contract amendment request more than one year?	☐ Yes	∏ No	₹ N/A	Remarks:	
22. Are amendments requested before the expiration of the original contract?	Yes	☐ Nio	₩ N/A	Remarks	_
23. Is a service contract on a CHP 76, Contract Request			1		
initiated for any commercial meeting/conference room rental which is expected to exceed \$4,992.99 in total cost?	☐ Yes	□No	ANA 🔀	Remarks:	
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□ No	AJN 🛣	Remarks:	_
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver lipense checks conducted for all of the following types of agreements:	⊠ Yes	☐ No	□ N/A	Remarks:	
(1) Awonics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitonal Services (5) Consutting Services					
26. Is a <u>driver license check</u> conducted for, but not imited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	∕∑ Yes	∏ Nio	□ N/A	Remarks	
(1) Alarm and Fire Alarm Mankoring (2) Camera Maintenance and Repair (3) Carpet installation (4) Diseal Generator Maintenance and Repair (5) Distinasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Aris Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service					
(11): Laundry/Linen Service (12): Office Machine Maintenance and Repair (13): Painting Services (intentor of facility) (14): Painting Services (15): Scale Maintenance and Repair (16): Steam Clearing Services (Carpet, not scales) (17): Telephone Services (cellular, satellite, and regular) (18): Television Equipment Maintenance and Repair (19): Uninterruptible i Power Supply Maintenance and Repair					

INSPECTION CHECKLIST - CONTRACTS (continued)

rate of CALIFORNIA EPARTMENT OF CALIFORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM VSPECTION CHECKLIST hapter 3, Command Procurements ontracts				*
Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	⊠ Yes	□ No	AIN 🗆	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□ No	AVN 🗌	Remarks:
29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	⊠ Yes	∏Nio	□ N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	Yes	⊠ Nio	□ N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	Yes	No	□ N/A	REMARKS: PAPER COPY RETAINED
32. Is a spreadsheet prepared listing all expenditures?	Yes	□ No	⊠*N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	☐ Yes	□ No	⊠ N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	Æ Yes	□N□	□ N/A	Remarks:
 Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. 1, Ch. 3, Section 3.02.1) 	Yes	□ No	⊠ N/A	Remarks:
38. Does the contract file contain the STD, 4 Contractor Evaluation form for consultant contracts? (SCM Vol. 1, Ch. 3, Section 3.02.5)	Yes	□ No	ANA 🔯	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	Yes	□ No	AIN 🖾	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7,05)	☐ Yes	□ No	ANN 🔯	Remarks:
38. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. 1, Ch. 4, Section 4.09)	☐ Yes	□ No	⊠ N/A	Remarks:

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COMMAND INSPECTION PROGRAM **EXCEPTIONS DOCUMENT**

Command: Santa Cruz	Division: Coastal	Chapter:	
Sat Seibert #1	1852	12/31/08	

Chapter:

Page 1

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide

improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.						
TYPE OF INSPECTION Corrective Action Plan Included						
☐ Division Level ☒ Command	Level	Appeal Included				
☐ Executive Office Level		☐				
Follow-up Required:	Forward to: Sivision	Commander's Signature:	Date:			
⊠ Yes □ No	Due Date: 12-31-08	1. Almangue	12:31-08			
Chapter Inspection: Three, C	Command Procurements					
Inspector's Comments Rega	rding Innovative Practice	98:	-28-28-101			
None						
Command Suggestions for Statewide Improvement:						
Increased availability of standardized training.						
Inspector's Findings:						
Area approvers and reviewers of purchases have not received procurement training.						
Freight and/or packing slips are not attached to the purchase order received copy and sent to FMS.						
STD. 21, STD 204, CA Integrated Waste Mgmt Board Form 74 and/or DGS Small Business Certification letters are not maintained in vendor folder(s).						
A log sheet of contract activities is not maintained.						
Commander's Response:						

I have read and understand the Inspector's Findings.

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Santa Cruz	Division: Coastal	Chapter:	
Sgt. Seibert, #1	1852	12/31/08	

Page 2

Inspector's Comments:		

None

Required Action	
Corrective Action Plan/Timeline	
Corrective Action Flam Timeline	
Area approvers and reviewers are schedule to attend procureme	ent training on January 14, 2009.
Effective immediately, procedures will include freight and/or pacreceived copy(s) when sent to FMS.	king slips be attached to purchase order
No later than February 1, 2009, area will ensure applicable STD Waste Mgmt Board Form 74s and/or DGS Small Business Certifolder(s).	· /·
No later than February 1, 2009, area will develop and post log s	neet(s) of contracted activities.
Appeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter inspection).
Commander's Basis for Appeal:	
Commander's Basis for Appeal: Appeal Review/Decision: (This shall be the only level of appeal).	
	Date:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: Hollister-Gilroy	Division: Coastal	Number	
Evaluated by: Sergeant Dave Hill		Date: 1-22-09	
Assisted by:		Date:	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inspector's Signature:	
_	Lead Inspector's Signature.	
☐ Division Level ☐ Command Level		
☐ Executive Office Level ☐ Voluntary Self-Inspection		
Follow-up Required: Yes No Follow-up Inspection	Commander's Signature: Date:	
For applicable policy, refer to: HPM 11.2, Chapter 7		
 Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing? 		
Have Approvers/reviewers of purchases received procurement training?	☐ Yes ☐ N/A Remarks: 1-14-09. see attached narrative.	d
Are prohibited items procured on CHP 43, Purchases Requisitions?	Yes No N/A Remarks:	
 Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 		
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	Yes □ No □ N/A Remarks:	
5. Is all required information entered on the CHP 43, Purchase Requisition?		
 Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)? 	☐ Yes ☐ No ☐ N/A Remarks:	
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	☐ Yes ☐ No ☑ N/A Remarks: Have not performed this task.	

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	☐ Yes	□No	⊠ N/A	Remarks:
9.	Are the CHP 43, Purchase Requisitions, competitively bid?	☐ Yes	□No	⊠ N/A	Remarks:
10.	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	☐ Yes	□No	⊠ N/A	Remarks:
11.	Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□ No	⊠ N/A	Remarks:
12.	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	□ No	⊠ N/A	Remarks:
	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□No	⊠ N/A	Remarks:
14.	Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15.	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks:
	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□No	□ N/A	Remarks:
17.	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	☐ Yes	□No	⊠ N/A	Remarks:
	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	☐ Yes	□No	⊠ N/A	Remarks:
19.	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	☐ Yes	□No	⊠ N/A	Remarks:
		1			

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	☐ Yes	□No	⊠ N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	☐ Yes	□ No	⊠ N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□No	□ N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□No	□ N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	⊠ Yes	□No	□ N/A	Remarks:

Remarks: Items marked N/A are tasks the Area has not encountered as of this inspection.

1 of 2

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Hollister-Gilroy	Division: Coastal	Number:
Evaluated by: Sergeant Dave	Hill	Date: 1-22-09
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inspector's Signature:				
☐ Division Level ☐ Command Level					
☐ Executive Office Level ☐ Voluntary Self-Inspection					
Follow-up Required:	Commande	er's Signature			Date:
For applicable policy, refer to: HPM 11.2, Chapter 3					_
 Are all employees associated with the use of the Cal- Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form? 	☐ Yes	☐ No	⊠ N/A	Remarks: See narrative)
 Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized? 	☐ Yes	⊠ No	□ N/A	Remarks:	
 Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized? 	⊠ Yes	□No	□ N/A	Remarks:	
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	☐ Yes	⊠ No	□ N/A	Remarks:	
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	☐ Yes	⊠ No	□ N/A	Remarks:	
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	⊠ Yes	□No	□ N/A	Remarks:	
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	☐ Yes	⊠ No	□ N/A	Remarks:	
8. Does the CHP 317 Cal Card Log fully describe the purchase?	⊠ Yes	□No	□ N/A	Remarks:	
9. Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	⊠ Yes	□ No	□ N/A	Remarks:	

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□ No	□ N/A	Remarks:
Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□ No	□ N/A	Remarks:
Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□ No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

See exceptions document for No and N/A checked boxes.

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: Hollister-Gilroy	Division: Coastal	Number:
Evaluated by: Sergeant Dave	Hill	Date: 1-22-09
Assisted by:		Date:

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Page

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE O	F INSPECTION		Lead Inspe	ctor's Signatu	re:		
Divi	ision Level 🗵 Commar	nd Level					
☐ Exe	cutive Office Level	y Self-Inspection					
Fo	llow-up Required: ☐ Follow ☐ Yes ☐ No	v-up Inspection	Commande	er's Signature:			Date:
For ap	oplicable policy, refer to: HPM 11.1	, Chapter 23					
1.	Are multiple X Numbers awarded to to circumvent the \$4,999 contract lim		☐ Yes	⊠ No	□ N/A	Remarks:	
2.	Does all X Number file documentatio STD. 204 Payee Data Record?	n contain the	⊠ Yes	☐ No	□ N/A	Remarks:	
3.	Do X Numbers requiring a contract (i landscaping) have prior approval fror Services Section commander?		☐ Yes	□No	⊠ N/A	Remarks:	
4.	Are X Number requests made prior to services are performed?	o the date the	⊠ Yes	□No	□ N/A	Remarks:	
5.	Are X Numbers issued for a one-time	e use?	⊠ Yes	□No	□ N/A	Remarks:	
6.	Are prohibited services performed us Number?	sing an X	☐ Yes	□ No	⊠ N/A	Remarks:	
7.	Are X Numbers used for the procured service and not the purchase of a co		⊠ Yes	☐ No	□ N/A	Remarks:	-
8.	Are X Numbers issued for telecommerelated services pre-approved by Telecommunications Section?	unications	☐ Yes	□No	⊠ N/A	Remarks:	
9.	Do X Numbers used for facilities rela (such as roof repair, electrical) costin have prior approval from Facilities Se	g over \$1,000	⊠ Yes	□No	□ N/A	Remarks:	
10.	Do X Numbers issued for lapsed con agreements have prior approval by the Assistant Commissioner?		☐ Yes	□No	⊠ N/A	Remarks:	

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	☐ No	□ N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□ No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	☐ Yes	⊠ No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	☐ No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	☐ No	□ N/A	Remarks:

See exceptions document.

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Division:	Number:
Hollister-Gilroy	Coastal	
Evaluated by:		Date:
Sergeant Dave	Hill	1-22-09
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inspector's Signature:
☐ Division Level ☐ Command Level	
☐ Executive Office Level ☐ Voluntary Self-Inspection	
Follow-up Required: ☐ Follow-up Inspection ☐ Yes ☐ No	Commander's Signature: Date:
For applicable policy, refer to: HPM 11.1, Chapter 22	
 Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value? 	
Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	☐ Yes ☐ No ☐ N/A Remarks:
 Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? 	
4. Is the performance of contract services monitored and documented?	☐ Yes ☐ No ☐ N/A Remarks:
5. Are all copies of correspondence with the vendor maintained?	
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	Yes ☐ No ☐ N/A Remarks:
8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

months fro pre-appro	sts for contract services less than six om the anticipated start date of the contract ved by Assistant Commissioner, Staff, for processing?	⊠ Yes	□ No	□ N/A	Remarks:
	completed and accepted by the nt before expiration of contract agreement?	⊠ Yes	□No	□ N/A	Remarks:
quality, qu manner sp	act services performed according to the lantity, objectives, timeframes, and in the pecified in the contract (e.g., review reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks:
substantia	es for payment reviewed and approved to te expenditures for work performed and to enalties being assessed?	⊠ Yes	□No	□ N/A	Remarks:
are <u>suffici</u>	act expenditures monitored to ensure there ent funds to pay for all services rendered d by contract?	⊠ Yes	□ No	□ N/A	Remarks:
	requestor verify the contractor has fulfilled ments of the contract before approving the ce?	⊠ Yes	□ No	□ N/A	Remarks:
appropriat	invoice identified and approved, as e and forwarded to Fiscal Management rpayment?	⊠ Yes	□No	□ N/A	Remarks:
16. Are all app completed	olicable form sections of the CHP 78 ?	⊠ Yes	□ No	□ N/A	Remarks:
sudden, u and immin mitigate th	ency contracts document and justify a nexpected occurrence that poses a clear lent danger, requiring immediate action to e loss or impairment of life, health, or essential public services?	☐ Yes	□No	⊠ N/A	Remarks:
of a contra	ployees associated with the management act completing the CHP 78S, Conflict of atement, Employee, form?	☐ Yes	□No	⊠ N/A	Remarks:
performan part of the	ms concerning the contractor's ce fully documented in writing and made a contract manager's contract file?	⊠ Yes	□No	□ N/A	Remarks:
	ct amendment request dollar amounts more than 30%?	□Yes	□No	⊠ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

21. Is the length of the contract amendment request more than one year?	☐ Yes	□No	⊠ N/A	Remarks:
Are amendments requested before the expiration of the original contract?	⊠ Yes	□No	□ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	⊠ N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	☐ Yes	□No	⊠ N/A	Remarks:
26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (interior of facility) (14) Plumbing Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair	☐ Yes	□ No	⊠ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

	Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	☐ Yes	⊠ No	□ N/A	Remarks:
	Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□No	□ N/A	Remarks:
	Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks:
	Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	⊠ No	□ N/A	Remarks:
	Is a computer file prepared for all contracts administered?	☐ Yes	⊠ No	□ N/A	Remarks:
32.	Is a spreadsheet prepared listing all expenditures?	☐ Yes	⊠ No	□ N/A	Remarks:
	Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	☐ No	□ N/A	Remarks:
	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	□No	□ N/A	Remarks:
	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	⊠ N/A	Remarks:
	Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks:
	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□No	□ N/A	Remarks:
1	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks:
	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4. Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

EXCEPTIONS DOCUMENT

DEPARTIMENT OF CALFORNIA RIGHMAN PATROL COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT INSTRUCTIONS: This document shall be typed. Check ap	SCIT. DAVE HELL 1	رــ
EXCEPTIONS DOCUMENT INSTRUCTIONS: This document shall be typed. Check ap	307. DAME HELL IT	
INSTRUCTIONS: This document shall be typed. Check ap		22-00
INSTRUCTIONS: This document shall be typed. Check ap		
shall be routed to and its due date. This document shall be	propriate boxes as necessary, or fill in the blanks as indicated, Ei, I. Under "Floward to." enter the next level of command where the e utilized to document innovative practices, suggestions for statew s, and may be used to appeal findings. A CHP 61 Memorandum I	document ide
TYPE OF INSPECTION	E Corrective Action Plan Included	
Division Level	9973	
Executive Office Level	Appeal Included	
I Enquired to	Commander's Signature: Date	š.
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Yes DNO - Oue Date:	_ SENTHALE OIL	29/200
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Inspector's Findings

The following personnel received procurement training on January 14th, 2009 at Coastal Division:

Sergeant Dave Hill OSS-1 Roberta Schmit Auto Tech Tom Mcjunkin

Items marked as N/A in this inspection indicate the Area has not experienced this situation, however, the process and policies are understood and will be followed in the event a situation indicated in this inspection arises.

Purchases:

A review of the Area Requisition/Supply order binder was conducted and the following concerns noted:

- > The binder was relatively unorganized. CHP 43's and CHP 41's were mixed together
- Many CHP 41's could not be located.
- The CHP 41 log was not complete and no dates of receipt of items were indicated.
- Quarterly supply orders contained numerous area generated supply order numbers
- No paperwork was attached to the CHP 41's or CHP 43's. Packing slips, invoices, purchase orders, etc were not located.
- Some CHP 41's were not complete and were missing area generated log numbers and signatures. It is unknown if items were ordered or received.
- STD 21's were not being completed.

Action Taken:

The Area Supply Order (CHP 41) and Purchase Requisition (CHP 43) Binder was re-organized in the following manner:

- CHP 41's and CHP 43's have been separated into two sections.
- A new, more detailed log sheet for each section have been generated.
- Instructions on the completion of the CHP 41 and 43, processing and receipt of items have been placed at the front of each section of the binder.
- Area personnel responsible for completion of these forms have been trained in the changes made to the Area program.
- CHP 41's and 43's shall be reviewed by the Commander, Executive Assistant Sergeant and OSS-1 for completeness prior to submittal.

No further action is required in this portion of the inspection. The Executive Assistant Sergeant will monitor the Supply Order/Purchase Requisition Log to ensure compliance is maintained.

Calcard

The following Area personnel have been assigned Calcards:

Sergeant Dave Hill OSS-1 Roberta Schmit Auto Tech Tom Mcjunkin.

Cardholders understand the policy regarding the CHP78s. As of the date of this inspection, the processing of the 78S is not yet in policy (Headquarters direction).

A review of Calcard files revealed the following:

- > STD 21's and CIWMB for 74's were not being completed.
- > The CHP 317 (Calcard log) was not being filled out completely.
- Although small/micro and DVBE businesses were being utilized, the boxes were not checked. Small business certification letters were not attached to the file.

Action Taken:

A checklist was generated to ensure all of the proper forms are attached to the Calcard files. Per Headquarters training, certification letters from small/micro and DVBE businesses are no longer required, as for each Calcard purchase, the DGS website is to be accessed. The small/micro and DVBE certification status is to be checked and a copy of the current status is to be attached to each file.

No further action is required in this portion of the inspection. The Executive Assistant Sergeant will monitor the monthly Calcard statements and ensure compliance.

X Numbers

The STD 21 is not being utilized, as noted in the above section. Area is now in compliance.

No further action is necessary for this section of the inspection.

Contracts

Driver's license and/or finger print information has not been sent to CSU for retention. This item has been corrected and the correct procedure is now in place.

D. E. Hill Sergeant 11507

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command:	Division:	Number:
Gilry IF	Coastal	726-08-003
Evaluated by:		Date:
M. O. Delane	ey	01/06/09
Assisted by:	:(*0	Date:
		¥

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: Division Level Command Level ☐ Executive Office Level □ Voluntary Self-Inspection Commander's Signature: Follow-up Required: 01/06/09. Follow-up Inspection ⊠ No Yes For applicable policy, refer to: HPM 11.2, Chapter 7 1. Are participants in the procurement process at the Remarks: command level familiar with the related policies and X Yes □ No □ N/A procedures for purchasing? 2. Have Approvers/reviewers of purchases received Remarks: procurement training? ∀es □ No □ N/A Are prohibited items procured on CHP 43, Purchases Requisitions? Remarks: Yes ⊠ No \square N/A Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet Are separate CHP 43s, Purchase Requisitions, Remarks: prepared for commodity items obtainable from ⊠ Yes ☐ No □ N/A different suppliers or from different statewide commodity contracts? Is all required information entered on the CHP 43, Purchase Requisition? Remarks: ⊠ Yes ☐ No □ N/A Are the CHP 43, Purchase Requisitions, numbered Remarks: consecutively, starting anew at the beginning of each ✓ Yes □ No □ N/A fiscal year (July 1)? 7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for Remarks: No such requests found ☐ Yes □ No ⊠ N/A approval?

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	s \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \	D N/A	Remarks:
Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	s 🗆 No	□ N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□ No	□ N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□ No	⊠ N/A	Remarks: No such requests utilized
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	□ No	⊠ N/A	Remarks: No such requests utilized
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□ No	⊠ N/A	Remarks: No such requests utilized
14. Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□ No	□ N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□ No	□ N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□ No	□ N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	☐ Yes	□No	⊠ N/A	Remarks: No damaged items noted
				ł

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

2	O. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	Yes	□ No	⊠ N/A	Remarks: No cancellations requested
2′	 Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0) 	⊠ Yes	□ No	□ N/A	Remarks:
22	2. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□ No	□ N/A	Remarks:
23	. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□ No	□ N/A	Remarks:
24.	Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Coastal	726-08-003
	Date:
	01/06/09
	Date:
	Coastal

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION				Lead Inspector's Signature:				
☐ Division Level ☐ Command Level					ж 9		8	
☐ E	xecutive Office Level	☐ Voluntary Self-Inspection	1/10	D. DEL		2 V	61 - 61	
	ollow-up Required: ⊠ Yes □ No	Follow-up Inspection	1	nder's Signatu ? O. OEU		8	Date: 1-6-09	
For a	applicable policy, refer to	: HPM 11.2, Chapter 3						
	Card program completing Interest Statement, Employers		Yes	s ⊠ No	□ N/A		Form has not been used. have now been trained.	
2.	Are STD. 21 Drug Free maintained within the Caeach vendor utilized?	Workplace certifications al Card command file for	⊠ Yes	□ No	□ N/A	Remarks:	Ki .	
3.	Are STD. 204 Payee Da in the Cal Card commar utilized?	ta Record forms maintained d file for each vendor	⊠ Yes	□No	□ N/A	Remarks:	*	
4.	Are California Integrated Form 74 documents mai utilized?	Waste Management Board ntained for each vendor	⊠ Yes	□ No	□ N/A	Remarks:	4:	
5.	If the vendor is a small b is the certification letter f General Services mainta		⊠ Yes	□No	□ N/A	Remarks:		
6.	When fair and reasonable reasonable method docu justified?		☐ Yes	□No	⊠ N/A	Remarks:	ž K	
7.	Are purchases split into n to circumvent transaction	nultiple transactions in order purchase limits?	Yes	⊠ No	□ N/A	Remarks:		
8.	Does the CHP 317 Cal Capurchase?	<u> </u>	⊠ Yes	□No	□ N/A	Remarks:		
9.	Are bank statements reco Cal Card Log and the reco		⊠ Yes	☐ No	□ N/A	Remarks:		

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□No	□ N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	·⊠ Yes	□No	□ N/A.	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	☐ Yes	□ No	⊠ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□ No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□ No	□ N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: Gilroy IF	Division: Coastal	Number: 726-08-003		
Evaluated by: M. O. Delaney	Date: 01/06/09			
Assisted by:	(34)	Date:		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected:

TYPE OF INSPECTION

Lead Inspector's Signature:

Division Level

Command Level

1		K-7 -					
☐ Division Level ☐ Command Level			9		6	8:	
☐ Executive Office Level ☐ Voluntary Self-Inspection		1 ///	m.o. DELANOV				
Follow-up Required: Follow-up Inspection Yes No			Commander's Signature: M. O. D. ELASTY			Date: 01/06/09	
For a	pplicable policy, refer to	: HPM 11.1, Chapter 23		I			
1.	Are multiple X Numbers to circumvent the \$4,999	awarded to the same vendo contract limit?	or Yes	s ⊠ No	□ N/A	Remarks:	
2.	STD. 204 Payee Data R		⊠ Yes	□No	□ N/A	Remarks:	
3.	Do X Numbers requiring landscaping) have prior a Services Section comma	a contract (i.e., janitorial or approval from the Business nder?	☐ Yes	□No	⊠ N/A	Remarks: No observed	such instances
4.	services are performed?	nade prior to the date the	⊠ Yes	□No	□ N/A	Remarks:	100
5.	Are X Numbers issued fo	r a one-time use?	Yes	□No	□ N/A	Remarks:	
6.	Are prohibited services po Number?	•	☐ Yes	⊠ No	□ N/A	Remarks:	al 3. 8 o 120
	Are X Numbers used for t service and not the purch	ase of a commodity?	⊠ Yes	□No	□ N/A	Remarks:	
8.	Are X Numbers issued for related services pre-approach Telecommunications Sect	ved by	⊠ Yes	□ No	□ N/A	Remarks:	
9.	Do X Numbers used for fa (such as roof repair, electr have prior approval from F	ical) costing over \$1,000	⊠ Yes	□ No	□ N/A	Remarks:	
	Do X Numbers issued for I agreements have prior app Assistant Commissioner?	apsed contractual proval by the appropriate	☐ Yes	□ No	⊠ N/A	Remarks: No s observed	uch instances

2 of 2

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Particular and the second seco				
Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	□ No	□ N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□ No	□ N/A	Remarks;
14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□ No	□ N/A	Remarks:

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Division:	Number:				
Gilroy IF Coastal		726-09-003				
Evaluated by:		Date:				
M. O. Delane	γ	01/06/09				
Assisted by:		Date:				

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

THE OF INSPECTION	 Lead Inst 	pector's Sigr	nature:	
☐ Division Level ☐ Command Level				,
☐ Executive Office Level ☐ Voluntary Self-Inspection	1///10	0. DEC	ANEV	
Follow-up Required: Follow-up Inspection X Yes No	Command	der's Signatu	ıre:	Date:
For applicable policy, refer to: HPM 11.1, Chapter 22				
Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	⊠ Yes	☐ No	□ N/A	Remarks:
 Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99? 	⊠ Yes	□ No	□ N/A	Remarks:
 Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "<u>CP" for</u> <u>contract payable</u> listed on the CHP 78? 	⊠ Yes	□No	□ N/A	Remarks:
Is the performance of contract services monitored and documented?	⊠ Yes	□No	□ N/A	Remarks:
5. Are all copies of correspondence with the vendor maintained?	⊠ Yes	☐ No	□ N/A	Remarks:
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	⊠ Yes	□No	□ N/A	Remarks:
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	⊠ Yes	□No	□ N/A	Remarks:
 Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A? 	⊠ Yes	□ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	ct Yes	S No	⊠ N//	Remarks: No such contracts utilized
10. Is all work completed and accepted by the Department before expiration of contract agreement	? Xes	□ No	□ N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□ No	□ N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□No	□ N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□No	□ N7A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	☐ Yes	□No	⊠ N/A	Remarks: This is handled by Facilities Section
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to . mitigate the loss or impairment of life, health, property, or essential public services?	⊠ Yes	□No	□ N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	☐ Yes	□ No	⊠ N/A	Remarks: This is handled by Facilities Section
Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□ No	□ N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	☐ Yes	□No	⊠ N/A	Remarks: This is handled by Facilities

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21.	Is the length of the contract amendment request more than one year?	☐ Yes	□ No	⊠ N/A	Remarks: This is handled by Facilitie Section
22.	Are amendments requested before the expiration of the original contract?	☐ Yes	□No	⊠ N/A	Remarks: No amended contracts
be-	Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks: No such contracts utilized
	Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	Yes	□ No	⊠ N/A	Remarks: No such contracts utilized
· · ·	Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	⊠ Yes	□No	□ N/A	Remarks:
	 (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 	*:			
lii tr	s a driver license check conducted for, but not mited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel re scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (interior of facility) (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair	Yes	□No	⊠ N/A	Remarks: No such contracts utilized
					*

COMMAND INSPECTION PROGRAM.

INSPECTION CHECKLIST

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	☐ Yes	s 🛭 No	□ N/A	Remarks: Documents have not beer forwarded. Employees now trained.
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	Yes	S □ No	⊠ N/A	Remarks: No instances requiring notification were found.
29. Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	Yes	□ No	⊠ N/A	Remarks: This is handled by Facilities Section
31. Is a computer file prepared for all contracts administered?	☐ Yes	□No	⊠ N/A	Remarks: This is handled by Facilities Section
32. Is a spreadsheet prepared listing all expenditures?	☐ Yes	□ No	⊠ N/A	Remarks: This is handled by Facilities Section
33. Is the notification to the contractor documented for the start date for services to begin?	☐ Yes	□No	⊠ N/A	Remarks: This is handled by Facilities Section
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	Yes	□ No	⊠ N/A	Remarks: This is handled by Facilities Section
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	⊠ N/A	Remarks: No such contracts utilized
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	Yes	☐ No	□ N/A	Remarks: No such contracts utilized
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□ No	□ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	⊠ Yes	□No	□ N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
Gilroy IF	Coastal	3
Inspected by:		Date:
Lt. Delaney		01/06/09

Page 1

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION Corrective Action Plan Included ☐ Division Level ☐ Command Level Appeal Included Executive Office Level ☐ Attachments Included Forward to: Commander's Signature: Date: Follow-up Required: ⊠ Yes ΠNo Due Date: MIO. DELANEY 01/06/09 Chapter Inspection: Two-Evidence Inspector's Comments Regarding Innovative Practices: None Command Suggestions for Statewide Improvement: Ongoing training for purchasers and approvers. Inspector's Findings: Command employees were not completing form CHP 78S, Conflict of Interest Statement, Employee, for Cal-Card purchases. Contractor employee driver license and fingerprint information was not being forwarded to Contract

Commander's Response:

Services Unit as required.

Employees have now been trained on the noted issues.

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Page 2

Command:	Division;	Chapter:
Gilroy IF	Coastal	3
Inspected by:		Date:
Lt. Delaney		01/06/09

Inspector's Comments:	
None	e u
e w =	
: Required Action	
Corrective Action Plan/Timeline	
Train employees on noted issues.	
Training occurred immediately as inspection was un	derway.
Appeal Process: (Appeals shall be filed within five (5) busine	ess days of the completed chapter inspection):
Commander's Basis for Appeal:	P P P P P P P P P P P P P P P P P P P
N/A	W
Appeal Review/Decision: (This shall be the only level of app	pea/).
N/A	
X X	180
8	· ·
BI®	
ead Inspector's Signature:	Date:
esponding Commander's Signature (for appeal):	1-6-0 9 Date:

PLEASE FILE WITT CH-3 INSPERTOR

Memorandum

Date:

January 7, 2009

To:

Coastal Division

From:

DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

Gilroy Inspection Facility

File No.:

726.10553

Subject:

CHAPTER INSPECTION FOLLOW-UP

On January 06, 2009, a Chapter 3 - Procurement self-inspection was conducted at the Gilroy Inspection Facility. Two issues requiring attention were listed on the accompanying Exceptions Document. Below are the noted issues:

- 1. Employees utilizing the Cal-Card were not completing the CHP 78S Conflict of Interest Statement, Employee, for Cal-Card purchases.
- 2. Contractor employee driver license and fingerprint information was not being forwarded to Contract Services Unit as required.

These issues were addressed through the training of responsible the personnel. No further action is contemplated.

M. O. DELANEY, Lieutenant

Commander

Page 1 of 3 STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST Chapter 3, Command Procurements **Purchases** INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fall in the blanks as indicated. Any discrepancies with policy. applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up inspection, the "Follow-up inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Division Level Command Level Executive Office Level ☑ Voluntary Self-Inspection Follow-up Required: FOR ☐ Follow-up Inspection ☐ Yes **⋈** No 123108 For applicable policy, refer to: HPM 11.2, Chapter 7 Are participants in the procurement process at the command level familiar with the related policies and Remarks: X Yes □NÞ □ N/A procedures for purchasing? 2. Have Approvers/reviewers of purchases received procurement training? Remarks X Yes M N/A 3. Are prohibited items procured on CHP 43, Purchases Requisitions? Remarks: ☐ Yes No. □ N/A Supplies for personally - owned equipment Commodities for personal use Confirming order Purchases via the internet Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from Remarks ☐ Yes ☐ No □ N/A different suppliers or from different statewide commodity contracts? Is all required information entered on the CHP 43, Purchase Requisition? X Yes Remarks □ No ☐ N/A Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each Remarks: ✓ Yes □ N/A fiscal year (July 1)? 7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for X Yes Remarks ☐ No □ N/A

approvat?

2 of 3

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements **Purchases**

8. Do specialized items purphased contain the				
appropriate Division, and/or OPI approvals?	×	es 🗆 N	lo 🗆 N	I/A Remarks:
 Are the CHP 43, Purchase Requisitions, competitively bid? 	₩ Ye	es 🗆 N	lo 🗆 N	/A Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	Ľ X Y∈	es 🗆 N	□ N	A Remarks
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	I □ va	s 🗀 N	D ⊠ NI	A Remarks:
 Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3? 	☐ Ye	s No	N/A ⊠	A. Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	i □ No	□ NIA	Remarks:
14. Are items checked immediately for content and damage when delivered?	[ズ Yes	□ No	□ N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	Ų Yes	□N⊳	□ N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	∏ Yes	□ No	□NíA	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	∑ Yes	□Np	□ N/A	Remanus
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	¥Yes	□No	□N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	X Yes	□ No	□ N/A	Remarks:

OHP 650C (Rev. 09-03) CIPI 010

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an Item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□No	⊠ NIA	Remarks:
 Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0) 	ĭXYes	□No	□ N/A	Remarks:
Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	Ľ X Yes	□No	□N/A	Remarks
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	□X Yes	□No	□ N/A	Remarks
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	Yes Yes	(\$\$\text{\$\exititt{\$\text{\$\exititt{\$\text{\$\text{\$\text{\$\text{\$\text{\$\text{\$\text{\$\text{\$\text{\$\text{\$\text{\$\text{\$\text{\$\text{\$\text{\$\text{\$\text{\$\	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Monterey Area	Division: Coastal Div.	Chapter:	
Inspected by: Sam Dickson, LT.		Date: 12/31/08	

Page 1 of 2

number of the inspection in the Chapte shall be routed to and its due date. This	r Inspecti s docume	on number. Under "For ent shall be utilized to do	ward to:" enter t ocument innova	ry, or fill in the blanks as indicated. Enter the chapte he next level of command where the document tive practices, suggestions for statewide nay be used if additional space is required.
TYPE OF INSPECTION ☐ Division Level ☐ Command Level ☐ Executive Office Level		Total hours expended on the inspection:		☐ Corrective Action Plan Included ☐ Attachments Included
Follow-up Required:		rd to: Coastal Div. ate: 12/31/08	NA.	
Chapter Inspection. 3		אמביב novative Practices		
Command Suggestions for Sta	atewide	Improvement:	1)	
None	atevide	e improvement.	20 M2 M2	
Inspector's Findings:				
Vone				
Commander's Response: 🛛 C	oncur	or 🗌 Do Not Cond	cur (Do Not C	oncur shall document basis for response)
SEE ATTACHED CH	ecker	ST FIN Ch	3, Purc	HASES.

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2 of 2

Command:	Division:	Chapter:	
Monterey Area	Coastal Div.	3 _	
Inspected by:	Date:		
Sam Dickson, LT.		12/31/08	

Required Action	6(V)
Corrective Action Plan/Timeline	

None

Employee would like to discuss this report with the reviewer.	COMMANDER'S SIGNATURE	DATE
(See HPM 9.1, Chapter 8 for appeal procedures.)	1 - 1 m	8-18.9
	INSPECTOR'S SIGNATURE	DATE
	C. Pro- For	8-18.9
Reviewer discussed this report with	REVIEWER'S SIGNATURE	DATE
employee		1
☐ Concur ☐ Do not concur		

Page 1 of 2

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Moviele	PAVIEIDN:	130-08-00
LIXING THE	they	Date: 18 08
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as Indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up inspection, the "Follow-up inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Treation to the second
☐ Division Level ☐ Command Level	Lead inspector's Signature:
☐ Executive Office Level	h I/U///V+TNC+THE/
Follow-up Required:	7 Comminder a Signature: Tors 123108
For applicable policy, refer to: HPM 11.2, Chapter 3	
Are all employees associated with the use of the Ca Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	al- 🖾 Yes 🗌 No 🗀 N/A Remarks:
Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	¥Yes □ No □ N/A Remarks:
 Are STD. 204 Payee Data Record forms maintained in the Cei Card command file for each vendor utilized? 	XYes No N/A Remarks:
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	if applicable
 If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file? 	Yes No N/A Remarks:
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	Yes No N/A Remarks:
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	☐ Yes □ N/A Remarks:
Does the CHP 317 Cal Card Log fully describe the purchase?	Y Yes No N/A Remarks:
Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	Yes No N/A Remarks.

CHIP 6800 (Mev. 08-08) CP1 010

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
INSPECTION CHECKLIST
Chapter 3, Command Procurements
Cal-Card Program

10. Are credit invoices/receipts for returned items maintained with the bank statement?	Yes	□No	□N/A	Remarks:
11. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	☐ Yes	□N₀	ЙN/A	Remarks
12. Are Cal Cards maintained in a secure area?	ĎXYes	□N□		Remaiks:
13. Are Cal Card purchases pre-approved by the commander?	[X Yes	□N□	□ N/A	Remarks:
14. Have all cardholders received training on the Department's procurement processes?	Yes	XI NO William	□ N/A	Remarks. Shawn Inclair
15. Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	No	□ N/A	Remarks:

CHP 6600 (Rev. 08-08) CPI 010

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Division: Monterey Area Coastal Div.		Chapter:		
Inspected by: Sam Dickson, L		Date: 12/31/08		

Page 1 of 2

1 5.90 / 51 =				
INSTRUCTIONS: This document shall number of the inspection in the Chapte shall be routed to and its due date. Thi improvement, identified deficiencies, co	r Inspections Is docume	on number. Under "Forwa ent shall be utilized to docu	rd to:" enter the nea ment innovative pr	ill in the blanks as indicated. Enter the chapte xt level of command where the document actices, suggestions for statewide e used if additional space is required.
TYPE OF INSPECTION ☐ Division Level ☐ Command I ☐ Executive Office Level	Level	Total hours expended inspection:	on the	☐ Corrective Action Plan Included☐ Attachments Included
Follow-up Required: ☐ Yes ⊠ No		d to: Coastal Div.		
Chapter Inspection: 3 (*) Inspector's Comments Regard None		novative Practices:		
Command Suggestions for Sta	atewide	e Improvement:		S. 100 (100 (100 (100 (100 (100 (100 (100
None				
Inspector's Findings:				
lone				
Commander's Response: 🛭 C	Concur	or 🗌 Do Not Concur	(Do Not Concur	shall document basis for response)
SEE ATTACHED CH	TCKL	155 FM Ch	3, CAE CA	AD.

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2 of 2

Command: Monterey Area	Division: Coastal Div.	Chapter:	
Inspected by: Sam Dickson, L		Date: 12/31/08	

N:C	
Required Action	
Corrective Action Plan/Timeline	
Corrective Action Plan/Timeline	

None

Employee would like to discuss this report with	COMMANDER'S SIGNATURE	DATE
the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	1 L.P.	X-1X-5
(Coot in Marin Chapter of the appear procedures)	INSPECTOR'S SIGNATURE	DATE
	L. Cr. For	8-18.9
Reviewer discussed this report with	REVIEWER'S SIGNATURE	DATE
employee		
☐ Concur ☐ Do not concur		

08/18/2009 16:03 FAX 183142

10

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

The state of the s	Page	1 of 2
Monteley Coasta	e 7300	8001
D10000486ly	Dade: 18	08
Assisted by:	Date:	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Londie	specior's Sig		
☐ Division Level ☐ Command Level	Load	expectation is any	riakure:	
☐ Executive Office Level		biot	128b.	7
Follow-up Required: Follow-up Inspection Yes No		nders signal	Ure)	Lr For 123108
For applicable policy, refer to: HPM 11.1, Chapter 23				
 Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit? 	☐ Yes	; XNO	□ N//	A Remarks:
Does all X Number file documentation contain the STD. 204 Payee Data Record?	□Xes	□ No	□ NIA	Remarks:
 Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander? 	Yes	□No	□ N/A	Remarks:
4. Are X Number requests made prior to the date the services are performed?	Yes	□No	□ N/A	Remarks:
Are X Numbers issued for a one-time use?	XYes	□ No	□ N/A	Remarks:
Are prohibited services performed using an X Number?	Yes	□ Np	□ N/A	Remarks
 Are X Numbers used for the procurement of a service and not the purchase of a commodity? 	ÇXYes	□ No	□ N/A	Remarks
Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	TX Yes	□ No	□ N/A	Remarks:
Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	Ù∜es	□No	□ N/A	Remarks
Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	XYes	□No	NIA	Remarks:

CHP 6502 (Porv. 69-00) OPI ON

Page 2 of 2

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL **COMMAND INSPECTION PROGRAM** INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	Yes	□No	□ N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	Yes	□ No	□ N/A	Remarks
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	Yes 7f 2	Dl Mul	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	Yes	□ No	□ N/A	Remarks:
5. Is the itemized involce for each X Number service maintained in the command's files?	Yes	□No	□NIA	Remarks

COMMAND INSPECTION PROGRAM **EXCEPTIONS DOCUMENT**

Monterey Area	Coastal Div.	3	
inspected by:	L	Date: 12/31/08	
Sam Dickson, L	12/31/08		

Page 1 of 2			
number of the inspection in the Chapter shall be routed to and its due date. This	Inspecti s docum	Check appropriate boxes as necessary, or foon number. Under "Forward to:" enter the neent shall be utilized to document innovative praction plans. A CHP 51 Memorandum may be	actices, suggestions for statewide
TYPE OF INSPECTION ☐ Division Level ☐ Command Level ☐ Executive Office Level		Total hours expended on the inspection:	☐ Corrective Action Plan Included ☐ Attachments Included
Follow-up Required:		rd to: Coastal Div. ate: 12/31/08	
Chapter Inspection: 3	× -	Numser	
Inspector's Comments Regard	ding In	novative Practices:	
None	÷		
Command Suggestions for Sta	atewid	e Improvement:	
None			
Inspector's Findings:			
lone			
Commander's Response: 🛭 C	oncur	or 🗌 Do Not Concur (Do Not Concu	r shall document basis for response)
SEE ATTACHED CHECK	LISF	FIR Ch 3, X MUMBUR	S

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

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		The second secon	
Command: Monterey Area	Division: Coastal Div.	Chapter:	
Inspected by: Sam Dickson, L	Т.	Date: 12/31/08	

Required Action	
Corrective Action Plan	n/Timeline

None

Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE	DATE 8-18-5
	INSPECTOR'S SIGNATURE	DATE 8-18-9
Reviewer discussed this report with employee Concur Do not concur	REVIEWER'S SIGNATURE	DATE

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: Division: Monterey Coastal		Number: 730-08-001	
Evaluated by: S. Dickson, Lt.		Date: 31DEC08	
Assisted by:		Date:	

INSTRUCTIONS: Answer individual Items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYF	PE OF INSPECTION						
ĺ	Division Level	☐ Command Level	Lead Ir	spector's Sig	nature:		
	Executive Office Level		5		1.		
		☑ Voluntary Self-Inspectio			in		
	Follow-up Required: Yes X No	Follow-up Inspection	Compad 5.1	nder's Signa	ture:	FOR	Date: 123108
For	applicable policy, refer to	o: HPM 11.1, Chapter 22				S#1	
	the estimated dollar val	are repetitive, regardless of ue?	⊠ Yes	□ No	□ N/A	A Remarks:	\
	services exceeding \$4,9		⊠ Yes	☐ No	□ N/A	Remarks:	
3	three-digit location code contract payable listed o	th the requesting command used, followed by "CP" for n the CHP 78?	⊠ Yes	□ No	□ N/A	Remarks:	
4	and documented?	ntract services monitored	⊠ Yes	□ No.	□ N/A	Remarks:	
5.	maintained?		⊠ Yes	□ No	□ N/A	Remarks:	
6,	which outline any problen non-performance of the v		⊠ Yes	□No	□ N/A	Remarks:	
7.	Is the final product to be d specifically and in as muc CHP 78?	elivered described n detail as possible in the	⊠ Yes	□ No	□ N/A	Remarks:	
8.	including the required doci	v contracts per HPM 11.1	⊠ Yes	□ No	□ N/A	Remarks;	

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

O Are requests for anythred		-		4 1	
 Are requests for contract services less than six months from the anticipated start date of the contra pre-approved by Assistant Commissioner, Staff, for expedited processing? 	oct XYe	es 🔲 N	lo 🗆 N.	/A Remarks:	
10. Is all work completed and accepted by the Department before expiration of contract agreement	t? 🛚 Ye	s 🗆 N	0 N/	A Remarks:	-
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	s \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \	D N/A	A Remarks:	3995
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?		□ No	D N/A	Remarks:	
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□ No	□ N/A	Remarks:	<u> </u>
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□ No	□ N/A	Remarks:	6
15. Is the final involce identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□No	□ N/A	Remarks:	HILLS AS A
16. Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□No	□ N/A	Remarks:	
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	⊠ Yes	□No	□ N/A	Remarks:	
Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	₩ Yes	Ø .No	□ N/A	Remarks:	
part of the contract manager's contract file?	⊠ Yes	□No	□ N/A	Remarks:	
Are contract amendment request dollar amounts increased more than 30%?	☐ Yes	□No	⊠ N/A	Remarks:	

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

⊠ Yes	s □ No	□ N/A	Remarks:
	□No	□ N/A	Remarks:
	□No	⊠ N/A	Remarks: Never applicable at Area level.
Yes	□ No	⊠ N/A	Remarks; Never applicable at Area level.
⊠ Yes	□ No	□ N/A	Remarks:
~			
☐ Yes	□ No		Remarks: No contracts for on-site personnel in excess of 30 days entered into for 2008.
		Yes No Yes No Yes No	Yes □ No □ N/A □ Yes □ No □ N/A

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27 Are all driver linears and 6	Carrier Andrews				
27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?		⊠ Ye	əs 🔲 🗆	No D	N/A Remarks: When obtained.
28. Is CSU advised by the con adverse information discov canceling the contract (i.e., and/or criminal history infor regarding the contractor or personnel)?	rered is grounds for , adverse driver license rmation is received	⊠ Ye	n as	10 01	N/A Remarks:
29. Are all invoices, records, ar maintained for three years a the contract?	after the final payment of	n 🛛 Ye:	s 🗆 N	0 N	/A Remarks:
30. Is a log sheet maintained fo related to the contract?		⊠ Yes	S DN	o □ N/	A Remarks:
31. Is a computer file prepared to administered?		☐ Yes	⊠ No	D N/	A Remarks:
32. Is a spreadsheet prepared li		☐ Yes	⊠ No) N/	A Remarks:
33. Is the notification to the conti the start date for services to	begin?	Yes	□ No		Remarks: Not performed at Area level.
34. Is the contractor contacted to have been received in order completion of the contract?	to oversee the	☐ Yes	□ No	⊠ N/A	Remarks: Not performed at Area level.
35. Do consultant services contra contain detailed performance for performance? (SCM Vol. I	criteria and a schedule , Ch. 3, Section 3.02.1)	Yes	□ No	⊠ N/A	Remarks: This type service not used at Area level.
36. Does the contract file contain Evaluation form for consultant (SCM Vol. I, Ch. 3, Section 3.0	contracts? 02.5)	☐ Yes	□No	⊠ N/A	Remarks: This type service not used at Area level,
 Does Contract work only beging final contract? (SCM Vol. 1, Ch 	n after approval of the n. 4, Section 4.09)	☐ Yes	□No	⊠ N/A	Remarks: Not performed at Area level.
38. Are the requirements for Gove 19130 (a) or (b) documented a personal service contracts? (G Ch. 7, Section 7.05)	nd justified for	☐ Yes	□ No	⊠ N/A	Remarks: Not performed at Area level.
39. Are any contract payments mad approval and execution of the c	de prior to the final contract? (SCM Vol. I,	☐ Yes	□No	⊠ N/A	Remarks: Not performed at Area level.

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Command: Monterey Area	Division: Coastal Div.	Chapter:	
Inspected by: Sam Dickson, LT.		Date: 12/31/08	

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number of the inspection in the Chapte shall be routed to and its due date. The	r Inspect	ion number. Under "Fo ent shall be utilized to o	rward to:" enter ti locument innovat	y, or fill in the blanks as indicated. Enter the chapt ne next level of command where the document ive practices, suggestions for statewide nay be used if additional space is required.
TYPE OF INSPECTION ☐ Division Level ☐ Command ☐ Executive Office Level	Level	Total hours expendinspection:	led on the	☐ Corrective Action Plan Included ☐ Attachments Included
Follow-up Required:		rd to: Coastal Div. ate: 12/31/08		
Chapter Inspection: 3		ma~D Pn ≥ cua novative Practice		
Command Suggestions for Sta	atewide	e Improvement:		
lone				
nspector's Findings:				The state of the s
one				
Commander's Response: 🗵 C	oncur	or 🗌 Do Not Con	cur (Do Not Co	ncur shall document basis for response)
				rano procurmente/comacis.

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 2 of 2

Command:	Division:	Chapter	
Monterey Area	Coastal Div.	3	
Inspected by:		Date:	
Sam Dickson, LT.		12/31/08	

Required Action	
Corrective Action Plan/Timeline	

None

Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE	DATE 8-18-9
	INSPECTOR'S SIGNATURE	DATE 8-18-9
☐ Reviewer discussed this report with employee ☐ Do not concur	REVIEWER'S SIGNATURE	DATE

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: King City	Division:Coastal	Number: 735-08-010	
Evaluated by: M. Mann #12109		Date: 12/30/2008	
Assisted by: M. Finch #A14451		Date: 12/30/2008	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspe	ector's Signatu	ıre:	
☐ Division Level	⊠ Command Level		4		
☐ Executive Office Level	1	e m		t.	
Follow-up Required: Yes No	☐ Follow-up Inspection	Command	er's Signature	:	Date: 12/30/2008
For applicable policy, refer t	o: HPM 11.2, Chapter 7			ð.	*:
	procurement process at the with the related policies and sing?	⊠ Yes	☐ No	□ N/A	Remarks: Attended formal procurement training on 12/17/2008
Have Approvers/review procurement training?	vers of purchases received	☐ Yes	⊠ No	□ N/A	Remarks: Upcoming January 5, 2009 – for OSS, OA II, and ASM.
3. Are prohibited items pr Requisitions?	ocured on CHP 43, Purchases	☐ Yes	⊠ No	□ N/A	Remarks:
		g.	×	î	6)
prepared for commodity different suppliers or fro commodity contracts?		⊠ Yes	□ No	□ N/A	Remarks: PIA and other contract suppliers are used when possible.
5. Is all required information? Purchase Requisition?	on entered on the CHP 43,	⊠ Yes	☐ No	□ N/A	Remarks:
consecutively, starting a fiscal year (July 1)?	ase Requisitions, numbered anew at the beginning of each	⊠ Yes	□No	□ N/A	Remarks:
	for the purchase of goods ant Commissioner, Staff, for	☐ Yes	□ No	⊠ N/A	Remarks: Area has not submitted any expedited requests for the purchase of goods.

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

8	B. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks:
9	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks: Example #735PR8505
1	0. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks: Example #735PR8505
1	 Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555? 	☐ Yes	⊠ No	□ N/A	Remarks: Area should not "sole- brand" without a justification. "Sole branding" will be avoided on future requests.
1:	 Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3? 	☐ Yes	⊠ No	□ N/A	Remarks: No justification was attached.
13	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	No No	□ N/A	Remarks: No justification was attached.
14	4. Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15	5. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks: Usually this is the case. There are exceptions.
16	6. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	`⊠ Yes	□No	□ N/A	Remarks:
17	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□ No	□ N/A	Remarks:
	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
19	. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	☐ Yes	□ No	⊠ N/A	Remarks: Area has not received any damaged items.

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	☐ Yes	□No	⊠ N/A	Remarks: Area has not cancelled any orders.
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□No	□ N/A	Remarks:
Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	☐ No	□ N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	☐ Yes	⊠ No	□ N/A	Remarks: In the past, Area management determined what Items were needed by the Area.
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks: PIA and other contract suppliers are used when possible.

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command:	Division: Coastal	Number:
King City		735-08-006
Evaluated by:		Date:
M. Mann		11/05/2008
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE (OF INSPECTION		Lead Insp	ector's Signa	ture:		
☐ Div	vision Level	⊠ Command Level		(a 2000)			
Executive Office Level Voluntary Self-Inspection				V. AL	C. C	- Barries	
Follow-up Required:				ler's Signatur	0: 	Prophysical lines	Date: # - 07 - 08
For applicable policy, refer to: HPM 11.2, Chapter 3							(6)
1.	Card program complet Interest Statement, Em		☐ Yes	□No	⊠ N/A	applicable. A	es not appear to be trea is not involved in rocurement for the
2.		Workplace certifications Cal Card command file for	⊠ Yes	□No	□ N/A	number contr	hen applicable for X- acts. Cal card is not nase services.
	in the Cal Card comma utilized?		⊠ Yes	□No	□ N/A	number contr	hen applicable for X- acts. The Area does not nts to non-governmental
	Form 74 documents ma utilized?	d Waste Management Board aintained for each vendor	☐ Yes	⊠ No	□ N/A	with recycled applicable. S	e Area uses products content when ometimes obtaining ent is not possible.
5.	is the certification letter General Services maint		⊠ Yes	□No	□ N/A	Remarks: Will number contr	nen applicable for X- acts.
6.	reasonable method doc justified?		⊠ Yes	□No	□ N/A	Remarks: The the lowest po	e Area always seeks ssible price for goods.
7.	Are purchases split into to circumvent transaction	multiple transactions in order n purchase limits?	☐ Yes	⊠ No	□ N/A	Remarks:	0
8.	purchase?	Card Log fully describe the	⊠ Yes	□No	□ N/A	Remarks: In	standard terms.
9.	Are bank statements red Cal Card Log and the re	conciled with the CHP 317 ceipts/invoices?	⊠ Yes	□No	□ N/A	Remarks: Rev	riewed and signed by

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

		ĥ		
10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□No	□ N/A	Remarks:
Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	☐ Yes	⊠ No	□ N/A	Remarks: Cal card coding statement is attached to bank statement, along with original invoices for itemization. Banks statement reflects where goods were purchased.
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks: The Area has three Cal cards which are kept secure.
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□No	□ N/A	Remarks: Authorization is sought by holders for purchases.
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks Only approved items are purchased.

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

King City	Cal-Card
Inspected by:	Date:
M. Mann	11/07/2008

Division: Coastal

Chapter: Chapter 3

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

Command:

additional space is required.			
TYPE OF INSPECTION		☐ Corrective Action Plan Includ	led
☐ Division Level ☐ Command	Level	Appeal Included	5
☐ Executive Office Level		Attachments Included	
Follow-up Required:	Forward to:	Commander's Signature:	Date:
☐ Yes	Due Date:	M. M.	08.11.09
Chapter Inspection:			\$5012 FEFF. 1803
Inspector's Comments Rega	arding Innovative Practice	es:	200 Mari
None.		¥.	ε
		E	sett.
		41	
Command Suggestions for S	Statewide Improvement:		
None.	· ·		(8
		39	
			*1
Inspector's Findings:		*	

No problems with the command's Cal-card procedures were identified. Audits of Cal-card procedures are carried out according to the schedule established in HPG 22.1, Commander's Desk Reference.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 2

Command: King City	Division: Coastal	Chapter: Chapter 3 Cal-Card
Inspected by:		Date:
M. Mann		11/07/2008

A		
Commander's Response:		
Continue of Copping.		

Ensuring purchases for goods and services are made according to policy are a priority for the command. All purchases made are prudent.

Inspector's Comments:

Ensuring purchases for goods and services are made according to policy are a priority for the command.

: Required Action Corrective Action Plan/Timeline

None required.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 3

Command: King City	Division: Coastal	Chapter: Chapter 3 Cal-Card
Inspected by:		Date:
M. Mann		11/07/2008

[Appeal Process: (Appe	els shell be filed within tive (5) bus	lness days of the comp	lleted ehapterlin	apeo(llon)).	27 中國
Commander's Basis fo	r Appeal:		LASTINE TO SERVICE		
Not applicable.	185 185	e .	8		
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	ě				g
ø			ž.	e E	а в
		¥.			
Appeal Review/Decisio	n: (This shall be the only level of a	appeal).			

Lead Inspector's St. hat are.	Date: 08-19-09	
Responding Commander's Signature (for appeal):	Date:	

Not applicable.

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: King City	Division: Coastal	Number: 135~08-008
Evaluated by:		Date:
M. Mann #12109		12/30/2008
Assisted by:		Date:
M. Finch #A14451		12/30/2008

Page

1 of 2

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF	FINSPECTION		Lead Inspe	ector's Signatu	іге:		WILL
Divi:	sion Level	⊠ Command Level		. 5.4	9,		
☐ Exe	cutive Office Level	☐ Voluntary Self-Inspection	Con Contract of the Contract o	4.70.2	-	- CARRIE	
Fol	llow-up Required:] Yes ⊠ No	Follow-up Inspection	Command	Signature W. U.			Date: 12/30/2008
For ap	plicable policy, refer to	: HPM 11.1, Chapter 23					80 1
*1	to circumvent the \$4,99		☐ Yes	⊠ No	□ N/A	Remarks:	
2.	Does all X Number file of STD. 204 Payee Data F	documentation contain the Record?	⊠ Yes	□No	□ N/A		vendor has not been sly, or outside 3 years.
3.	Do X Numbers requiring landscaping) have prior Services Section comm	g a contract (i.e., janitorial or approval from the Business ander?	☐ Yes	⊠ No	□ N/A	contract for r	rea has one X-number nonthly janitorial services by Facilities Section.
	services are performed?		⊠ Yes	□No	□ N/A	Remarks:	
5.	Are X Numbers issued f	or a one-time use?	⊠ Yes	□No	□ N/A	Remarks: E: janitorial serv	xception monthly /lce.
	Are prohibited services p Number?	a	☐ Yes	⊠ No	□ N/A	Remarks:	
	Are X Numbers used for service and not the purc	hase of a commodity?	⊠ Yes	□No	□ N/A		o commodities are a X-Number.
	Are X Numbers issued for related services pre-app Telecommunications Se	roved by	☐ Yes	□No	⊠ N/A	Remarks: A	rea has not had any.
	Do X Numbers used for (such as roof repair, elect have prior approval from	ctrical) costing over \$1,000	⊠ Yes	□ No	□ N/A	Remarks:	S *(
;	Do X Numbers issued fo agreements have prior a Assistant Commissioner	pproval by the appropriate	☐ Yes	□No	⊠ N/A	Remarks: A	rea has not had any.

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

	*				
11	. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	□ No	□ N/A	Remarks: When possible however; in certain situations there are limited vendors available in Area to perform a service – usually sole proprietor.
12	. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	☐ No	□ N/A	Remarks: When possible and a certified small business is used.
13	. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□ No	□ N/A	Remarks: Some CHP 78X's have the STD 21 form attached. Others do not.
14	. Do emergency service X Numbers document and justify the emergency?	☐ Yes	☐ No	⊠ N/A	Remarks: Area has not requested any emergency service X-Numbers.
15.	Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	☐ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: King City	Division: Coastal	Chapter: Chapter 3 X-Number
Inspected by: M. Mann		Date: 11/07/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION Corrective Action Plan Included ☐ Division Level ☐ Command Level Appeal Included □ Executive Office Level ☐ Attachments Included Date: Commander's Signature: Forward to: Follow-up Required: 08.19.09 ⊠ No ☐ Yes Due Date: Chapter Inspection: Inspector's Comments Regarding Innovative Practices: None. Command Suggestions for Statewide Improvement: None.

No problems with the command's use of X-Numbers to obtain service were identified. Audits of X-Number procedures are carried out according to the schedule established in HPG 22.1, Commander's Desk Reference.

Inspector's Findings:

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

1		
Command: King City	Division: Coastal	Chapter: Chapter 3 X-Number
Inspected by: M. Mann	400	Date: 11/07/2008

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A STATE OF THE STA			
Commander's Response:			
Communació i Response:		1000-00-00-00-00-00-00-00-00-00-00-00-00	

X-Numbers are obtained when necessary. Policy in HPM 11.1, Ch. 23 are followed.

Inspector's Comments:

X-Numbers are obtained when necessary. Policy in HPM 11.1, Ch. 23 are followed.

: Required Action Corrective Action Plan/Timeline

None required.

COMMAND INSPECTION PROGRAM **EXCEPTIONS DOCUMENT**

Page 3

Command: King City	Division: Coastal	Chapter: Chapter 3 X-Number
Inspected by: M. Mann	14	Date: 11/07/2008

r age o	a)		****			
	Appeals shall be illed within five	(5) business days of	the completed the	pter inspecti	on).	
Commander's Basi	is for Appeal:		(40.00)			
Not applicable.	is .				25	
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9	À		u .			
		ìē				
Appeal Review/Dec	cision: (This shall be the only le	evel of appeal).				6
Not applicable.			-	ē	*	
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				15	¥-	

Lead Inspector's Signature

1 of 4

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: King City	Division: Coastal	Number: 735-08-009
Evaluated by: M. Mann #12109		Date: 12/30/2008
Assisted by: M. Finch #A144	51	Date: 12/30/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE O	F INSPECTION		Lead Inspe	ector's Signat	иге:	
☐ Divi	ision Level	⊠ Command Level		-6	54	, =
☐ Exe	ecutive Office Level	☐ Voluntary Self-Inspection	M	W.M.		
Fo	llow-up Required:] Yes ⊠ No	Follow-up Inspection	Command	W. K):	Date: 12/30/2008
For ap		o: HPM 11.1, Chapter 22				2
1.		Request used to initiate all are repetitive, regardless of ue?	⊠ Yes	☐ No	□ N/A	Remarks:
2.	Is a CHP 78 Contract I services exceeding \$4,	Request used for one-time 999.99?	⊠ Yes	☐ No	□ N/A	Remarks: If less than, X-Number would be requested for one time service.
3.		ith the requesting command used, followed by "CP" for	☐ Yes	⊠ No	□ N/A	Remarks: Just a "C" is used by OPI.
4.	Is the performance of coand documented?	ontract services monitored	⊠ Yes	☐ No	□ N/A	Remarks: Invoices and dates of services are kept in contract file(s).
5.	Are all copies of corresp maintained?	oondence with the vendor	⊠ Yes	☐ No	□ N/A	Remarks:
	which outline any proble non-performance of the		☐ Yes	☐ No	⊠ N/A	Remarks: Area hasn't had any. Correspondence would be kept on file.
	CHP 78?	uch detail as po ssible in the	⊠ Yes	□No	□ N/A	Remarks:
	including the required do for expedite and emerge	approval/signature obtained, ocumentation and approvals ency contracts per HPM 11.1, arding the CHP 78 or CHP	⊠ Yes	□ No	□ N/A	Remarks: No emergency requests have been submitted.

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COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

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9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□ No	⊠ N/A	Remarks: None requested.
Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□No	□ N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	☐ No	□ N/Å	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	☐ No	□ N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	☐ Yes	☐ No	⊠ N/A	Remarks: Handled by CMU.
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□ No	□ N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	☐ No	□ N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□No	□ N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□No	⊠ N/A	Remarks: None requested.
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	☐ Yes	⊠ No	□ N/A	Remarks: All Area employees involved in contract management will complete a CHP 78S when applicable. Generally, contracts are not awarded at Area level.
Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	☐ Yes	□No	⊠ N/A	Remarks: No problems Identified. Will be made part of file if applicable. Contractors have been responsive to concerns/requests made via call.

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COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

increased more than 30%?	Yes	□No	⊠ N/A	Remarks: Has not occurred.
21. Is the length of the contract amendment request more than one year?	Yes	☐ No	⊠ N/A	Remarks: Has not occurred.
Are amendments requested before the expiration of the original contract?	☐ Yes	□No	⊠ N/A	Remarks: Has not occurred.
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	☐ No	⊠ N/A	Remarks: Has not occurred. No conference facility avallable in King City.
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□ No	⊠ N/A	Remarks: Has not occurred. See above.
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	⊠ Yes	□ No	□ N/A	Remarks:
 (1) Avionics Maintenance and Repair (2) Hellcopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 				
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	⊠ Yes	□ No	□ N/A	Remarks:
(1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Dlesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (Interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair		,		
(19)Uninterruptible Power Supply Maintenance and Repair CHP 580F (Rev. 09-08) OPI 010				*

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COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	⊠ Yes	□No	□ N/A	Remarks: Unknown at this time if this has occurred. Required per policy in HPM 11.1, Chapter 22, Page 22-10.
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□No	□ N/A	Remarks: Unknown at this time if this has occurred. Required per policy in HPM 11.1, Chapter 22, Page 22-10.
29. Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks: Retention of files is adhered to.
30. Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	⊠ No	□ N/A	Remarks: Log sheets will be incorporated into each contract file when applicable at Area.
31. Is a computer file prepared for all contracts administered?	☐ Yes	⊠ No	□ N/A	Remarks: Computer file(s) will need to be created when applicable at Area.
32. Is a spreadsheet prepared listing all expenditures?	☐ Yes	⊠ No	□ N/A	Remarks: Spreadsheet(s) will need to be created when applicable at Area.
33. Is the notification to the contractor documented for the start date for services to begin?	☐ Yes	□No	⊠ N/A	Remarks: Handled by CMU.
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	□No	⊠ N/A	Remarks: Handled by CMU.
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	⊠ N/A	Remarks: Area does not seek consulting services.
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□ No	⊠ N/A	Remarks: Area does not seek consulting services.
 Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09) 	⊠ Yes	□No	□ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□No	□ N/A	Remarks: Area does not seek personal service contracts to cut costs.
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	□No	⊠ N/A	Remarks: Approval to start work granted by CMU.

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Command:	Division: Coastal	Chapter: Chapter 3
King City		Contracts
Inspected by:		Date:
M. Mann		11/07/2008

number of the inspection in the Chapte shall be routed to and its due date. The	er Inspection number. Under "Folia document shall be utilized to	orward to:" enter the next level of command whe document innovative practices, suggestions for be used to appeal findings. A CHP 51 Memoral	re the document statewide
TYPE OF INSPECTION		☐ Corrective Action Plan Included	*
☐ Division Level ☐ Command I	Level	Appeal Included	
☐ Executive Office Level	*	☐ Attachments Included	
Follow-up Required:	Forward to:	Commander's Signature:	Date:
☐ Yes	Due Date:	m·m	08-19-69
Chapter Inspection:			
Inspector's Comments Rega	rding Innovative Practice	es:	
None.			
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<u>.</u>			
Command Suggestions for S	tatewide Improvement:		
None.			
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	Y		
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Inspector's Findings:	*45		

Contracts have generally not been awarded at the Area level. If less than \$4,999.99 for a one time service, X-Number is obtained.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 2

Command: King City	Division: Coastal	Chapter: Chapter 3 Contracts
Inspected by:		Date:
M. Mann		11/07/2008

Commander's	Response
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Area has not awarded any contracts. No problems have been identified with this command function. Area monitors current awarded contract expenditures. Copies of current contracts are kept on file.

Inspector's Comments:

Area has not awarded any contracts. No problems have been identified with this command function. Area monitors current awarded contract expenditures. Copies of current contracts are kept on file.

: |Required Action| |Corrective Action Plan/Timeline

None required.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Command: King City	Division: Coastal	Chapter: Chapter 3 Contracts
Inspected by: M. Mann	41	Date: 11/07/2008

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ot applicable.					À
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N.					
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					2

Date: # 19 1/ 9 10 5	
Date:	
	18:19:09

Not applicable.

1 of 3

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: Templeton (740)	Division: Coastal	Number:
Evaluated by: Sergeant D. Hart		Date: 11-19-08
Assisted by: N/A		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answe applicable legal statues, or deficiencies noted in the inspections shall discrepancies and/or deficiencies shall be documented on an Exceptionthermore, the Exceptions Document shall include any follow-up a Inspection, the "Follow-up Inspection" box shall be marked and only	II be comme tions Docur and/or corre	ented on via ment and add ctive action(the "Rema dressed to s) taken. If	rks" section. Additionally, such the next level of command. this form is used as a Follow-up
TYPE OF INSPECTION	Lead Insp	pector's Signa	~ /	
☐ Division Level ☐ Command Level	1 C	in 7	7-6	
☐ Executive Office Level ☐ Voluntary Self-Inspection				
Follow-up Required: Yes No Follow-up Inspection	Command	der's Signatur	e:	Date:
For applicable policy, refer to: HPM 11.2, Chapter 7			,	
 Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing? 	⊠ Yes	☐ No	□ N/A	Remarks:
Have Approvers/reviewers of purchases received procurement training?	⊠ Yes	□No	□ N/A	Remarks:
3. Are prohibited items procured on CHP 43, Purchases Requisitions?	☐ Yes	⊠ No	□ N/A	Remarks:
 Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 				
 Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts? 	⊠ Yes	□ No	□ N/A	Remarks:
5. Is all required information entered on the CHP 43, Purchase Requisition?	☐ Yes	⊠ No	□ N/A	Remarks: Refer to Exceptions Document for inspection findings.
6. Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?	⊠ Yes	☐ No	□ N/A	Remarks: Per Area OSSI R#740PR7001 received a 07/08 fiscal year number instead of a 06/07 number because H.Q. delayed the processing.
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	☐ Yes	□No	⊠ N/A	Remarks; None on file.

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

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8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks: Refer to Exceptions Document for inspection findings.
Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	⊠ No	□ N/A	Remarks: Refer to exceptions document.
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	□No	⊠ N/A	Remarks: None on file.
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□No	⊠ N/A	Remarks: None on file.
14. Are items checked immediately for content and damage when delivered?	⊠ Yes	☐ No	□ N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□ No	□ N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□ No	□ N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□No	□ N/A	Remarks:
	1			

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

20. Is Purchasing Services Unit (PSU) noting immediately by telephone, followed in the by a memorandum or e-mail, requesting of the requisition or deletion of an item, determined that a commodity requested is no longer needed and a purchase or yet been prepared?	vriting either g cancellation if it is d on a CHP 43	□No	□ N/A	Remarks:
21. Are open purchase orders periodically reinvestigated to ensure the orders are not an unreasonable length of time. (SAM &	ot opened for 📗 🛛 Yes	□ No	□ N/A	Remarks:
22. Are copies of the purchase requisitions orders maintained for three years after (SCM Vol. II, Ch. 11, Topic 4)		□ No	□ N/A	Remarks:
23. Are decisions documented to create a p documenting the basis of the decisions purchase? (SCM Vol II Ch. 2, Topic 11)		□No	□ N/A	Remarks:
24. Are purchase orders split to evade complete bidding requirements or to circumvent the Department's delegated purchase author (Public Contracts Code Section 10329)	ie 🔲 Yes	⊠ No	□ N/A	Remarks:

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command:	Division:	Number:
Templeton	Coastal	
Evaluated by:		Date:
Sergeant D. Hart		12-1-2008
Assisted by:		Date:
N/A		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE	OF INSPECTION		Lead Inst	pector's Signa	iture:			
-	vision Level	☐ Command Level		\sim	77-	-<		
☐ Executive Office Level ☐ Voluntary Self-Inspection			' C	'Ch 100				
Follow-up Required:			Comman	der's Signatur	9	Date: 12/3//08		
		o: HPM 11.2, Chapter 3						
	Card program completi Interest Statement, Em	ciated with the use of the Cal- ng the CHP 78S, Conflict of ployee, form?	☐ Yes	⊠ No	□ N/A	Remarks: Refer to Exceptions Document.		
2.	Are STD. 21 Drug Free maintained within the C each vendor utilized?	Workplace certifications al Card command file for	☐ Yes	⊠ No	□ N/A	Remarks: Refer to Exceptions Document.		
3.	Are STD. 204 Payee Da in the Cal Card comman utilized?	ata Record forms maintained and file for each vendor	☐ Yes	⊠ No	□ N/A	Remarks: Refer to Exceptions Document.		
4.	Are California Integrated Form 74 documents mautilized?	Waste Management Board intained for each vendor	⊠ Yes	□ No	□ N/A	Remarks:		
5.	is the certification letter to General Services mainta	nined in the file?	☐ Yes	⊠ No	□ N/A	Remarks: Refer to Exceptions Document.		
6.	reasonable method docu justified?		☐ Yes	□ No	⊠ N/A	Remarks:		
7.	to circumvent transaction		☐ Yes	⊠ No	□ N/A	Remarks:		
8.	purchase?	ard Log fully describe the	⊠ Yes	□No	□ N/A	Remarks:		
9.	Are bank statements reco Cal Card Log and the rec		⊠ Yes	☐ No	□ N/A	Remarks:		

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

				The second secon
10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	☐ No	□ N/A	Remarks:
Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	☐ No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	☐ No	□ N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks: Two items (\$114.50 of bottled water and \$54.24 in ice) were purchased with an Area Cal-Card. These items were purchased for officers for use at the California Mid-State Fair booth during the summer. Per the Area Commander, approval to use the Cal-Card to purchase these items was received by Dornetta Williams, H.Q. Cal-Card Coordinator.

Command: Division: Number: Templeton Coastal Evaluated by: Date: Sergeant D. Hart 11-28-2008

Chapter 3, Command Procurements X-Number Program

INSPECTION CHECKLIST

COMMAND INSPECTION PROGRAM

Assisted by:	Date:
N/A	
	

1 of 2

Page

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE C	OF INSPECTION		Lead Ins	ector's Signa	ture:	
☐ Div	vision Level	⊠ Command Level		Ch	_ 76	2-6
☐ Exe	ecutive Office Level	☐ Voluntary Self-Inspection		<u> </u>		
Fo	ollow-up Required: ☐Yes ⊠ No	☐ Follow-up Inspection	Comman	der's Signatur	4	Date: /2 / 3, / 08
For a	oplicable policy, refer to	o: HPM 11.1, Chapter 23			1	
1	Are multiple X Numbers to circumvent the \$4,99	s awarded to the same vendor 9 contract limit?	☐ Yes	⊠ No	□ N/A	Remarks:
2.	Does all X Number file (STD. 204 Payee Data F	documentation contain the Record?	☐ Yes	⊠ No	□ N/A	Remarks: Refer to Exceptions Document.
3.		g a contract (i.e., janitorial or approval from the Business ander?	☐ Yes	□ No	⊠ N/A	Remarks:
4,	services are performed		⊠ Yes	□No	□ N/A	Remarks:
5.	Are X Numbers issued f	or a one-time use?	⊠ Yes	□No	□ N/A	Remarks:
6.	Are prohibited services Number?	performed using an X	☐ Yes	⊠ No	□ N/A	Remarks:
7.	Are X Numbers used for service and not the purc		⊠ Yes	□ No	□ N/A	Remarks:
8.	Are X Numbers issued for related services pre-app Telecommunications Services	roved by	☐ Yes	□ No	⊠ N/A	Remarks None on file.
	have <u>prior</u> approval from	strical) costing over \$1,000 Facilities Section?	☐ Yes	□ No	⊠ N/A	Remarks: The files contain two X- Number facility repairs which cost in excess of \$1,000.00. However, both repairs were emergency in nature (septic system & water line damage).
	Do X Numbers issued for agreements have prior a Assistant Commissioner	pproval by the appropriate	☐Yes	□No	⊠ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	□No	□ N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	☐ Yes	⊠ No	□ N/A	Remarks: Refer to Exceptions Document.
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	☐ Yes	⊠ No	□ N/A	Remarks: Refer to Exceptions Document,
14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Division:	Number:
Templeton	Coastal	W
Evaluated by:	Date:	
Sergeant D. H	12/7-10/08	
Assisted by:		Date:
N/A	ķ)	

discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: □ Command Level Division Level n 72-Executive Office Level ☐ Voluntary Self-Inspection Follow-up Inspection Commander's Signature Follow-up Required: No. 12/31/08 Yes For applicable policy, refer to: HPM 11.1, Chapter 22 1. Is a CHP 78 Contract Request used to initiate all Remarks: service contracts which are repetitive, regardless of ✓ Yes No □ N/A the estimated dollar value? Is a CHP 78 Contract Request used for one-time Remarks: services exceeding \$4,999.99? □ No □ N/A 3. Is the Office of Primary Interest (OPI) tracking Remarks: Yes numbering beginning with the requesting command ⊠ No □ N/A three-digit location code used, followed by "CP" for Refer to Exceptions Document. contract payable listed on the CHP 78? 4. Is the performance of contract services monitored Remarks: and documented? ☐ No ☐ N/A Are all copies of correspondence with the vendor Remarks: maintained? X Yes ☐ No ☐ N/A Are letters for contracts documented and maintained Remarks: which outline any problems related to substandard or X Yes No □ N/A non-performance of the vendor? 7. Is the final product to be delivered described Remarks: specifically and in as much detail as possible in the ☐ No N/A CHP 78? Are all required levels of approval/signature obtained. Remarks: including the required documentation and approvals □ No □ N/A for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□ No	⊠ N/A	Remarks: None on file.
Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	☐ No	□ N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□No	□ N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□No	□ N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□No	□ N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□ No	□ N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□ No	□ N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	☐ Yes	⊠ No	□ N/A	Remarks: Refer to Exceptions Document.
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	⊠ Yes	□No	□ N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	☐ Yes	⊠ No	□ N/A	Remarks: Refer to Exceptions Document.
Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□ No	□ N/A	Remarks: Janitorial Contract Files contain such documents.
20. Are contract amendment request dollar amounts increased more than 30%?	□Yes	□No	⊠ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21. Is the length of the contract amendment request more than one year?	☐ Yes	□ No	⊠ N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	☐ Yes	□ No	⊠ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks: None on file.
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	⊠ N/A	Remarks: None on file.
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	☐ Yes	⊠ No	□ N/A	Remarks: Refer to Exceptions Document.
26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair	☐ Yes	No No	□ N/A	Remarks: Refer to Exceptions Document.

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	☐ Yes	⊠ No	□ N/A	Remarks: Refer to Exceptions Document.
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	☐ Yes	⊠ No	□ N/A	Remarks: Refer to Exceptions Document.
29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	□ No	□ N/A	Remarks: HVAC Service.
31. Is a computer file prepared for all contracts administered?	☐ Yes	⊠ No	□ N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	☐ Yes	☐ No	⊠ N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	☐ No	□ N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	□ No	□ N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□ No	⊠ N/A	Remarks: None on file.
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks:
 Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09) 	☐ Yes	□ No	⊠ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks;

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
Templeton	Coastal	3 Procurements
Inspected by:		Date:
Sergeant Dan Hart, #13580		12-1-2008

number of the inspection in the Chashall be routed to and its due date.	pter Inspection number. Unde This document shall be utilize	te boxes as necessary, or fill in the blanks as indica or "Forward to:" enter the next level of command whe d to document innovative practices, suggestions for may be used to appeal findings. A CHP 51 Memoral	ere the document statewide		
TYPE OF INSPECTION ☐ Division Level ☐ Comman ☐ Executive Office Level	d Level	 ☐ Corrective Action Plan Included ☐ Appeal Included ☐ Attachments Included 			
Follow-up Required:	Forward to: Coastal Division Due Date:	Commander's Signature:	Date:		
Shapter Inspection: Inspector's Comments Regarding Innovative Practices: The inspection did not reveal innovative practices developed by the command for procedures involving procurements.					
Command Suggestions for Command personnel did no Department's procurement	t provide suggestions t	t: o improve policies and procedures invo	olving the		
nspector's Findings:					

COMMAND CAL-CARD PROGRAM

he scope of the inspection was based on the previous 12 consecutive months Cal-Card purchases. he inspection revealed the following:

<u>ispection Checklist, Item #1:</u> Two Area employees are issued Cal-Cards. However, neither employee ras aware of policy concerning the completion of the CHP 78S (Conflict of Interest Statement).

<u>ispection Checklist, Items #2, #3 and #5:</u> A small percentage of the following forms could not be icated for on file vendors: STD. 204 (Payee Data Record), Small Business Certification, Department of ieneral Services STD. 21 (Drug Free Workplace Certification) and Disabled Veteran Certification.

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT PAGE 2

Command:	Division:	Chapter:	
Templeton	Coastal	#3	
Inspected by:		Date:	
Sgt. D. Hart		12-1-2008	

Inspector's Findings Continued:

COMMAND PURCHASES

The scope of the inspection was based on the previous 12 consecutive months of Purchase Requisitions (CHP 43). A total of 21 procurements in this time period were inspected which revealed the following:

Inspection Checklist, Item #5:

The State contract number and/or contract item number are not entered on all CHP 43s involving State contract purchases.

Inspection Checklist, Item #8:

The items contained in Requisition #740PR7026 were purchased with Federal grant funds (Office of Traffic Safety Grant #PT0826). Per Area, the Grants Management Unit (OPI) approved the requisition. However, the file does not contain documentation regarding OPI approval. It is recommended the Command update the file documents to support OPI approval was obtained prior to the CHP 43 being processed by Business Services Section.

Inspection Checklist, Item #11:

Some requisitions contained reference to brand or trade names or other specifications (effect of limiting bidding to one brand or trade name) but the CHP 43s did not address required limited bidding factors (HPM 10-3, Chapter 7).

COMMAND X NUMBER PROGRAM

The scope of the inspection was based on the previous 12 consecutive months of CHP 78X Number Service Orders. The inspection revealed the following:

Inspection Checklist, Items #2, #12 and #13:

Certain vendor files did not contain a STD. 204 (Payee Data Record), Small Business Certification form or a STD. 21 (Drug Free Workplace Certification) for X Number Service Orders.

Other Finding:

The inspection determined file documentation for CHP 78X #X07-740-236 appears to have a duplicate nvoice approved for payment. Policy requires commands that suspect duplicate invoices to document the invoice as "POSSIBLE DUPLICATE," and route to Fiscal Management Section (FMS) to ensure payment is necessary.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PRO

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT PAGE 3

Command:	Division:	Chapter:
Templeton	Coastal	#3
Inspected by:		Date:
Sgt. D. Hart		12-1-08

Inspector's Findings Continued:

COMMAND SERVICE CONTRACTS/ LETTERS OF AGREEMENT

Inspection Checklist, Items #3 and #16:

A contract (CHP 78) between the Department and San Luis Obispo County, dated August 2006, did not contain the Office of Primary Interest (OPI) contract tracking number.

Inspection Checklist, Item #18:

Area personnel involved in contracts are not familiar with or completing the CHP 78S (Conflict of Interest) Form as required by policy.

Inspection Checklist, Item #25:

Federal Bureau of Information (FBI) fingerprint checks have not been conducted for all new employees associated with the Area's janitorial services contract.

Inspection Checklist, Item #27:

Area Special Duty personnel have conducted driver license checks for on site contractors. However, the driver license information has not been forwarded to Contract Services Unit for retention in the contract file.

Inspection Checklist, Item #28:

In the past, a driver license check on a janitorial service employee returned with adverse information (warrant for arrest). However, CSU was not advised to determine whether this information was grounds for canceling the contract.

Commander's Response:		
20 10100 102 102 102 102 102 102 102 102	 (*************************************	

The Templeton Area has reviewed the results of the inspection and concurs with the findings. Changes have been implemented to correct the noted discrepancies.

nspector's Comments:		
hopeotor o comments.		

None.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

PAGE 4

Required Action

Corrective Action Plan/Timeline

The Templeton Area Commander will ensure the following required actions and/or operational changes are completed:

COMMAND CAL-CARD PROGRAM

Inspection Checklist, items #1: This issue has been corrected by ensuring Area employees issued Cal-Cards are familiar with policy concerning the completion requirements of the CHP 78S (Conflict of Interest Statement).

<u>Inspection Checklist, items #2, #3 and #5:</u> The Templeton Area has corrected this issue by obtaining and maintaining a master file of the required documents. Additionally, copies will be attached to invoices of new vendors.

COMMAND PURCHASES

nspection Checklist, Item #5:

The accurate completion of contract forms will be addressed with Area personnel responsible for the eview and approval of CHP 43 Forms. Personnel will ensure the State contract number and/or contract tem number is entered on requisitions.

nspection Checklist, Item #8:

Templeton Area will update the file for requisition #740PR7026 to ensure it reflects OPI approval was obtained for the Federal Grant item purchase.

nspection Checklist, Item #11;

Requisitions containing reference to brand or trade names or other specifications will be appropriately locumented as required in HPM 10-3, Chapter 7. Personnel recently attended procurement training and received instruction regarding the limited bidding and required documentation.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT PAGE 5

Required Action %	
Corrective Action Plan/Timeline Continued	

COMMAND X NUMBER PROGRAM

Inspection Checklist, Items #2, #12 and #13:

The Templeton Area has added a master file containing STD. 204 (Payee Data Record), Small Business Certification form and the Department of General Services STD. 21 (Drug Free Workplace Certification).

Other Finding:

The inspection determined file documentation for CHP 78X #X07-740-236 appears to have a duplicate invoice approved for payment. Accordingly, Templeton Area has contacted FMS to ensure the invoice in question was not paid twice.

COMMAND SERVICE CONTRACTS/ LETTERS OF AGREEMENT

Inspection Checklist, Items #3 and #16:

The accurate completion of contract forms will be addressed with personnel responsible for the completion of the CHP 78. Personnel will ensure the contract tracking number is documented.

Inspection Checklist, Item #18:

Area personnel were provided with policy concerning the completion of the CHP 78S (Conflict of Interest Employee) Forms. Also, personnel responsible for the review and approval of contract forms will ensure these forms are attached to contract service requests.

nspection Checklist, Item #25, 27 and 28:

The Templeton Area Standard Operating Procedure will be updated to include policy and procedures concerning Federal Bureau of Information (FBI) fingerprint checks and driver license checks.

Appeal Process: (Appeals shall be filed within five (5) but	usiness days of the completed chapter inspection).
Commander's Basis for Appeal:	
√/A	**************************************
Appeal Review/Decision: (This shall be the only level of	of appeal).
J/A	
ead Inspector's Signature:	Date: 12-10-08
esponding.Commander's Bignature (for appeal):	Date:

STATE OF CAMPORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
INSPECTION CHECKLIST
Chapter 3, Command Procurements

Purchases

Command:	Coastal	yinutçat:
S10-745 Suppared by:	. Vail	11/08/08
ARRIGIOS: OSSI Tina		11/08/08

INSTRUCTIONS: Answer included items with "Yes" or "No" answers, or fill in the blacks as Indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be downwented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

A STATE OF THE PERSON NAMED IN COLUMN TWO IS NOT THE PERSON NAMED IN COLUMN TWO IS NAMED IN	1 1 250 16	spector's alig	nzhure'		
TYPE OF INSPECTION	1,CEUIN III	shevial a rith	FIRE TELEVISION OF THE PERSON		
☐ Division Level ☐ Command Level	1				
Executive Office Level X Voluntury Self-Inspection	1/1	7	<u> </u>		
Follow-up Required:	CONTRAI	ider's Building	pus:		11/21/58
For applicable policy, refer to: HPM 11.2, Chapter 7	1				
 Are participants in the procurement process at the command level tamiliar with the valated policies and procedures for purchasing? 	X Yes	□ No	□ N/A	Remarks: See	Action Attached
Have Approversiteviewers of purchases received propurement !raining?	⊋ Yes	☐ 19o	□ N/A	Remarks:	
 Are prohibited items procured on CHP 43, Purchases Requisitions? 	☐ Yes	□ No	□ NM	Remarks:	WW
 Supplies for personally – owned aquipment Commodities for personal use Confirming order Purchases via the internal. 					
Are separate CHP 43s., Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	₩ Yes	□ No	□ NfA	Remarks	
is all required information entered on the CHP 43. Purchase Requisition?	W Yes	□ l'ilp	□ N/A	Remarks	
Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?	χ Yes	☐ f4o	□ N/A.	Remarks:	
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	xi:Yes	Nio	□ N/A	Remains:	

STATE OF CAMPORNIA
DEPARTMENT OF CHAIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
INSPECTION CHECKLIST
Chapter 3, Command Progurements
Purchases

 Do specialized items purchased contain the appropriate Division, and/or OPI approvals? 	☐ Ye	55 🗇 N	lo 🔄 N	A Remarks
 Are the CHP 43, Purchase Requisitions. competitively that? 	☐ Yo	s 💭 N	□ N/	A Remarks: Action See Attached
10. Does the OHP 315, Price Companson Worksheet, document at least two price quotations?	☐ Ye	s 🖾 🕅	D □ N/	A Remarks Action See Attached
11. Are Limited Competitive Bidding pumhase requests that limit or restrict the purchase to one specific brand or model justified and in compilance with SAM 3555?	∏ Ye	s Divi	o Be NW	4. Hemants:
12: Are Limited Competitive Bidding purchase requests for Items that Interface with existing departmental equipment in compliance with SAM 3555.37	☐ Yes	i 🗍 No	IN N/A	Remarks:
13. Do Non-Competitive Bid (MCB) purchase requests contain the NCB Justification and NCB Corrective Action Plan documents?	☐ Yes	□No	IS N/A	रिट्याबरोडः
14. Are items checked immediately for content and damage when delivered?	₹ Yes	□ No.	□ N/A	Remarks:
15. Is the "received appy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FiritS), Account Payable Unit, within three business days of receipt, if all items are accepted?	K Y129	☐ IV0	□ N/A	Remarks:
48. Are weight and/or pocking slips attached to the received copy of the purchase order and sent to PMS?	X Yes	[]] No	□ N/A	Regarks:
%7. Is FMS provided a photocopy of the purchase order and any approved freight or packing stips as acknowledgement that a portion of the order has been received?	Ŋ Yes	□ No	□ MNA	हिलासहरू
16. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	E Yes	□ No	□ N/A	Remants
19. Are <u>Demaged itignse</u> deflivered by common camer acknowledged on the freight bill by the cambr's driver before being accepted?	□ Yes	∏ No	ANN 🖼	Remarks:

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DEPARTMENT OF CALIFORNIA HIGHMAY PATROL
COMMAND INSPECTION PROGRAM
INSPECTION CHECKLIST
Chapter 3, Command Procurements
Purchases

	20. In Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or detailon of an item. If it is determined that a commodity requested on a GHP 43 is no longer needed and a purchase order has not yet been prepared?	X Yes	<u></u> 140	□ N/A	Remarks:
	 Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0) 	☑ Yes	□No	□N⁄A	Remarks.
<u></u>	22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SQM Vol. II, Oh. 11. Topic-4)	⊠ Yes	□ No	□N/A	Remains:
	23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Oh. 2, Topic 11)	X Yes	□No	□N/A	Remarks:
	24. Are purchase orders split to evade compellifive bidding requirements or to aircumvent the Department's delegated purchase authodity limits? (Public Contracts Gode Sestion 10229).	☐ Yes	[⊋ No	□ N/A	Remains:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Commend Procurements Cal-Card Program

Commano: 7 4 5	Division: Coastal	Number.
Evaluates by:	.E. Vail	Dale: 11/17/08
Assisted by:	Pina Welle	Date: r 11/17/0

INSTRUCTIONS: Answer individual llems with "Yes" or "No" answers, or M in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command.

Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up inspection, the "Pollow-up Inspection" box shall be marked and only deficient them need to be re-inspected.

TYPE OF INBPECTION	(Lead II	rupectors Sig	ustnie:	2000
Division Level Command Level				
☐ Executive Office Level	- 1 - /	1.	/	,
Follow-up Required: Follow-up Inspection X Yes No	COMMIS	undoru signi.	CIPE:	11/21/U8
For applicable policy, refer to: HPM 11.2, Chapter 3				
 Are all employees associated with the use of the Oa Card program completing the CHP 785, Conflict of Interest Statement, Employee, form? 	X Yes	s 🗀 No	□N	A Remarks:
 Are STD. 21 Drug Free Workplace certifications maintainest within the Cal Card command file for each vendor utilized? 	☐ Yes	, No	☐ mes	Remarks Action See Attached
 Are 5TD, 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized? 	☐ Yes	aM 🖾	□ MIM	Remarks: Action See Attached
 Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized? 	☐ Yes	X No	□ N/A	Remarks Action See Attached
 If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file? 	☐ Yœs	IŽ No	□ N/A	REMARK Action See Attached
6. When foir and reasonable is utilized, is the foir and reasonable method documented and properly justified?	☐ Yes	O/I []	⊠ N/A	हिस्मवर्षिकः
7. Are purchases split into multiple transactions in order to chroumvent transaction purchase limits?	☐ Yes	IX No	□ N/A	Remarks;
 Does the CHP 317 Cal Card Log fully describe the purchase? 	K Yes	□Np	□ M/A	Remarks:
Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/involces?	∑ Yes	□ No	□ N/A	Ретакь;

STATE OF CAUPORNIA DEPARTMENT OF CAUPORNIA HIGHWAY PATAOL COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST Chapter 3, Command Procurements Cal-Card Program

10. Are credit involves/receipts for returned items maintained with the back statement?	₩ Yes	☐ Nip	□ N/A	Remarks:
11. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	X Yes	□No	□ N/A	रिक्तवर्तार्षडः
12. Are Cal Oards maintained in a secure area?	X Yes	☐ No	□ N/A	Remarks
13. Are Cell Card purchases pre-approved by the commander?	X Yes	□ N•	□NĭA	Remarks:
14. Have all carditolders received training on the Department's producement processes?	☐ Yes	X No	□ N/A	Remarks Action See Attached
15. Åre item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	X No	□ N/A	Remarks:

STATE OF CAMPORNIA DEPARTMENT OF SAMPORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

्रं कृत्राम् सम्बद्धः	Caylaion:	Monuper:
SI.0-745	Coastal	
Evaluated by:		Dale;
Capt. W.	E. Vail	11/17/08
Assisted by:		Date:
OSSÍ Tina	a Weller	11/17/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any disprepancies with policy, applicable legal statues, or deficiencies noted in the mappellons shall be commented on via the "Remarks" section. Additionally, such disprepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall be documented any tolkow up and/or corrective action(s) taken. If this form is used as a Follow-up inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead	एक इन्द्रका 'क द्वाव	mature:		
☐ Division Level ☐ Command Level					
☐ Executive Office Level ☑ Voluntary Self-Inspect	- 1 /	//		6	
Follow-up Required:	Canin	anagra Gigna		7	11/21/08
		-111255			i de la contraction de la cont
 Are multiple X Numbers awarded to the same vend to circumvent the \$4,889 contract limit? 	or ☐ Ye	s No	□ N/A	-Remarks:	
Does all X Number file documentation contain the STD, 204 Payee Data Record?	☐ Yes	s ⊠No	□ N/A	Remarks See	Action Arrached
 Do X Mumbers requiring a postrect (i.e., janilotal or landscaping) have prior supproval from the Business Services Section communitater? 	X Yes	140	□ NIA	Resnance	
4. Are X Number requests made prior to the date the services are performed?	X Yes	□ Np	AM [Remarks:	
6. Are X Numbers issued for a one-time use?	X Yes	□ 1¾0	□ N/A	Remarks	
8. Are prolitibilited services performed using an X Number?	☐ Yes	⊠ No	□ N/A	Remarks:	
 Are X Numbers used for the procurement of a service and no! the purchase of a commodity? 		□ No	□N/A	Remailts:	
Are X Numbers issued: for telecommunications related services pre-approved by Telecommunications Section?	Yes	ol4 [_	K) N/A	दिस्ताताहरू	
g. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	X Yes	□ No	□ N/A	Remarks:	
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	☐ Yeş	□No	NfA	Remarks:	

STATE OF CAUPORNIA
DEPARTMENT OF SALIFORNIA HIGHWAY PATRICL
COMMAND INSPECTION PROGRAM
INSPECTION CHECKLIST
Chapter 3, Command Proguesments
X-Number Program

41. Do off X. Numbers awarded to a non-antall business vendor contain three price quotations?	A Yes	מא	☐ MW	Remains:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	☐ Yes	[X] No	∏ N{A	Remarks Action See Attached
18. Does the file documentation contain the STO. 21 Orug Free workplace certification for X Number vendors?	☐ Yes	☑ Na	□ N/A.	Remark Action See Attached
14, Do emergency service X Numbers (locument and justify the emergency?	X Yes	□ Na	□ N/A	Remarks:
15. Is the Remized Involce for each X Number service maintained in the command's files?	內 Yes	□ No	□ NÆ.	स्ट्रिक्स ं

STATE OF CAUFORNIA DEPARTMENT OF CAUFORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST Chapter 3, Command Procurements Contracts

த்திரு இது இது இது இது இது இது இது இது இது இத	Division: Coastal	Mumber,
Evaluatemby: Capt. W.:	E. Vail	Dale: 11/19/08
ASSITTINA	a Weller	DIME: 11/19/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepanaies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on the "Remarks" section. Additionally, such discrepandles and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up inspection, the "Follow-up inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	read lu	១០០៦៧ ន និថ្ងៃ	ימנטרפ:	
☐ Division Level ☐ Command Level				
☐ Executive Office Level ☑ Voluntary Self-Inspection		/_		
Follow-up Required: Follow-up Inspection [x] Yes No	Gorgo	ndar's Signar		11/21/58
For applicable policy, refer to: HPM 11.1, Chapter 22				
 is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value? 	⊠ Yes	. □ No	□ INVA	Remarks:
2. Is a CHP 78 Contract Request used for pne-lime services exceeding \$4,999.9ছ?	∑ Yes	□ No	□ N/A	, Remarks:
 Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract exystate listed on the OHP 78? 	∏ Yes	∏ No	X N/A	ह्याaixe:
4. Is the performance of contract services involtored and documented?	Yes	☐ JV0	X) N/A	Remarks:
 Are all copies of correspondence with the vendor maintained? 	☐ Yes	□ No	⊠ N/A	Remarks:
 Are tellers for contracts documented and maintained which outline any problems related to substandard or and-performance of the vendor? 	☐ Yes	∏ No	⊠ N/A	Remarks:
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	☐ Yes	I4ºa	⊠ N/A	Remarks:
8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1. Chapter 22, before forwarding the CHP 78 or CHP 784?	X Yes	[] No	□ A/A	Remarks:

STATE OF CAUPORNIA DEPARTMENT OF CAUPORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST Chapter 3, Command Procurements Contracts

Sec.

 Are requests for contract services less than six muchts from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing? 	a L Ve	.e. □ ivi	o X N/	r _{D.} Remarks:
 is all work completed and accepted by the Department before expiration of contract agreement 	? X Ye.	s 190	, [] N/	A Rentalks
11. Are contract services performed according to the quality, quantity, objectives, limetrames, and in the manner specified in the contract (e.g., review progress reports and interim products)?	X Yes	s No	□ NI	A, Remaika
12. Are involves for payment reviewed and approved to substantiate expenditures for work performed and to prevent pensities being assessed?	X Yes	; No	□ NIA	Remarks:
13. Are contract expenditures monitored to ensure there are sufficient funds to pay for all services rendered as required by contract?	X Yes	∏ No:	□ N/A	Remaiks:
14. Ooes the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	X Yes	☐ No	□ N/A	Rematas:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	K Yes	□ IÑo	□ N/A	Remarks:
18. Are all applicable form sections of the OHP 78 completed?	☐ Yes	ממו 🔲	AIM X	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and invarinent danger, requiring immediate action to mitigate the loss or impairment of life. health, property, or essential public services?	∐ Yes	∏ No	A\M 🔀	Remarks:
18. Are all employees associated with the menagement of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	₽9Y [X No	□ N/A	Remarks:
18. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	☐ Y'es	□N¤	E N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	☐ Yes	□ No	X N/A.	Remarks

STATE OF CAUFORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST Chapter 3, Command Procuraments Contracts

 $v_{\mathbf{v}_{\mathbf{x}} : \mathbf{v}}$

			-	
21. Is the length of the contract amendment request more than one year?	☐ Yes	□ No	XI N/A	Remarks
22. Are amendments requested before the expiration of the original contract?	☐ Yes	□ No	⊠ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 intotal cost?	Yes	□No	X) NIA.	Remarks
24. Do conference room renter costs exceeding the \$900 per day limit have pre-approval from Assistant Commissionar. Staff?	☐ Yes	□No	⊠ N/A	Remarks:
25. Are Galifornia Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint cheeks and clover liberse cheeks conducted for all of the following types of agreements: (1) Awontes Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (or file) (4) Janiford Services (5) Consuling Services	Yes	[¥] 1¥0	□N/A	Remarks Action See Attached
28. Is a diver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Atam and File Alam Montoring (2) Camera Maintenance and Repair (3) Carpet Instantion (4) Diesel Constantion (5) Ostmacher Maintenance and Repair (5) Ostmacher Maintenance and Repair (6) Exemplisher Service (7) File Eding Iller Service (8) Grape Door Mathenance and Repair (9) Gropic Aris Equipment Maintenance and Repair (10) Healing, Vermalion, and Air Conditioning Service (11) Laundrythinen Gen/or (12) Office Machine Maintenance and Repair (13) Painting Services (littenance and Repair (14) Philming Services (littenance and Repair (15) Stam Clearing Services (Carpet, not scales) (17) Teleptone Services (carpet, not scales) (17) Teleptone Services (carpet, not scales) (18) Teleptone Services (carpet, not scales) (19) Uninterruptible Power Supply Maintenance and Repair	☐ Yes	□ No	AIN X	Remarks

STATE OF CALIFORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST Chapter 3, Command Procurements

Contracts

27. Are all kinver license and fingenprint information forwarded to Contract Services Unit (CSU), along with the contract number for releation efter Commander review?	☐ Yes	s No	D IN	Remarks Action See Attached
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	☐ Yes	: No	an 🔁	A Remains
29. Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⅓ Yes	☐ No	□ MÆ	Rechalke:
30, is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	☑ No	□ M/A	See Attached
31. Is a computer file prepared for all contracts administered?	Yes	ĭ No.	□ NÆ	Remarks Action See Attached
32. Is a spreadsheet prepered listing all expenditures?	Yes	IN No	□ N/A	Remarks Action See Attached
33. is the notification to the contractor documented for the start date for services to begin?	Z Yes	□ No	□ N/A	दिस्तातक्षः
34. Is the contractor contected to determine if all invoices have been received in order to aversee the completion of the contract?	∑ Yes	□ No	□ N/A	Remains:
35. Do-consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.92.1)	∐ Yes	□ No	⊠ N/A	हिंद्यावर्थक
38. Does the contract the contain the STD, 4 Contractor Evaluation form for consultant contracts? (SCM Vpl. 1, Ch. 3. Section 3.02.5)	Yes	□No	M/A	Remarks:
All John May 11 And 12 (20 May 12 And 17 And 17 And 17 And 18 And	⊠ γes	∐No	□ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (e) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I. Ch. 7, Section 7.05)	☐ Yes	□ 140	AIM 🗹	Rematké;
38. Are any contract payments made prior to the final approval and execution of the contract? (SOM Vol. 1, Ch. 4, Section 4.08)	Yes	[] No	⊠ N/A	Remarks:

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

1 4440 1 01 0	Page	1	of	5
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Command: San Luis Obispo	Division: Coastal	Chapter: 3	
Inspected by: Captain Bill Vai			

number of the inspection in the Chapter shall be routed to and its due date. This	r Inspections docume	Check appropriate boxes as necessary, or on number. Under "Forward to;" enter the nent shall be utilized to document innovative paction plans. A CHP 51 Memorandum may be	practices, suggestions for statewide	
TYPE OF INSPECTION Division Level Command L Executive Office Level	_evel	Total hours expended on the inspection: 30 hours	Corrective Action Plan Included Attachments Included	
Follow-up Required:		rd to: Coastal Div		
Inspector's Comments Regarding Innovative Practices:				
Command Suggestions for St	atewid	e Improvement:		
Inspector's Findings:				

Chapter 3 - Command Procurement

Purchases

- 1. The Office Services Supervisor and Word Processing Technician are responsible for completing the CHP 43, Purchase Requisitions. They have received training from Coastal Division and have specific desk procedures as guidance. There were no Standard Operating Procedures in place for completing CHP 43's. (ACTION)
- 9. Of the three remaining CHP 43, Purchase Requisitions none contained a CHP 315, Price Comparison Worksheet. Two of the CHP 43's were being recalled due to budgetary constraints and the remaining one was for drug testing kits. The purchase of these was dictated by the Academy (OPI) for replenishment of the drug testing kits, with only two vendors provided. This will be addressed in the new Standard Operating Procedures chapter on Piscal Accountability. (ACTION)
- 10. There were no CHP 315's to inspect. (ACTION)

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

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Command: San Luis Obispo	Division: Coastal	Chapter:
Inspected by:		Date:
Captain Bill Vail		11/21/2008

Cal Card

- 2. The Area does not have copies of the STD. 21, Drug Free Workplace certification forms from the statewide contract vendors. Additionally, there were (12) non-contract vendors used to purchase various supplies not available through the statewide contract. None of these vendors had completed the STD. 21 form. (ACTION)
- 3. The Area does not have copies of the STD. 204, Payee Data Record form, from the statewide contract vendors. Additionally, there were (12) non-contract vendors used to purchase various supplies not available through the statewide contract. None of these vendors had completed the STD. 204 form. (ACTION)
- 4. The Area does not have copies of the California Integrated Waste Management Board Form 74 from the statewide contract vendors. Whenever possible, commands shall purchase commodities made from recycled products in the following categories: paper products, fine writing paper, compost, oil, plastic, solvents, paint, steel, and tire derived products. Additionally, there were (12) non-contract vendors used to purchase various supplies not available through the statewide contract. Three vendors may be required to complete the CIWM Form 74. None of these vendors had completed the Form 74. (ACTION)
- 5. Area does not have a copy of a small business or DVBE certification letter from the Department of General Services. (ACTION)

(Auditor's note: Per Contracts Management Unit (Tracy Redifer) most of the above listed forms are on file at headquarters. This would include: tires; fluids; office supplies; and Pitney Bowes. Any other vendors utilized by an Area would be required to have the forms in a local file).

14. No training has been conducted on the Cal Card process. Personnel routinely contact Division or headquarters for guidance to determine authorized/unauthorized items if not listed in HPM 11.2, Chapter 3. (ACTION)

X-Number

A total of (24) CHP 78X, X-Number Service Request, files were reviewed. The reviewed forms were prepared from January 1, 2008, through September 15, 2008. The only items commented on from the checklist require follow-up action:

- 2. All vendors had completed the STD. 204, Payee Data Record, with the exception of five: AVCO Fire Extinguishers; ACCO Systems; Jerry's Plumbing; Advanced Water Solutions; Vortex Industries; and Central Coast Appliance. (ACTION)
- (ACCO Systems and Advanced Water Solutions are contract vendors for the heating/air conditioning system, and the water purification systems in the Area office. According to Contracts Management Unit, these companies had completed the STD. 204 and are on file in their headquarters office.)

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 3 of 5

Command: San Luis Obispo	Division: Coastal	Chapter:	
Inspected by: Captain Bill Vail		Date: 11/21/2008	

- 12. There were no small business certificates in Area files. Small business forms are needed for Jerry's Plumbing and Thoma Electric. (ACTION)
- 13. All vendors had completed the STD. 21, Drug Free Workplace, with the exception of five: AVCO Fire Extinguishers; ACCO Systems; Jerry's Plumbing; Advanced Water Solutions; Vortex Industries; and Central Coast Appliance. (ACTION)

In one X Number invoice, we observed the invoice date (3/17/08) from the vendor was prior to the X- number service order date (3/21/08). It was determined the service was completed after the date of the requested X-number and mis-dated by the preparer.

Contracts

The Area had a total of six (6) contracts in operation during the 2007/2008 fiscal year. Five (5) of the contracts were generated through Facilities Section for the following services:

5C745000-0 - ACCO Engineered Systems (Air conditioning maintenance)

4C745002-0 - Nu Tech Pest Management (Pest control)

8C745000-0 - Achievement House, Inc (Janitorial Services - 7/1/08)

6C745000-0 - Hanson's Maintenance (Janitorial Services - Expire 6/30/08)

6C745003-0 - Linco Landscape Services (Exterior landscape)

Only one contact request was generated by the Area command (7C745001-0) which was awarded for Evidence/Impound of towed vehicles.

- 18. The only contact managed locally by the Area command (7C745001-0) is for Evidence/Impound of towed vehicles. The Area Tow Truck Officer and Field Operations Lieutenant oversee the contract details and have not completed a CHP 78S, Conflict of Interest Statement, employee form. (ACTION)
- 25. The personnel assigned under the janitorial contract (8C745000-0 -- Achievement House, Inc.) have not submitted fingerprints to the Department of Justice and the Federal Bureau of Investigation. Also, no driver license checks have been completed. (ACTION)
- 27. Upon completion of fingerprint and driver license checks, all information shall be forwarded to Contracts Services Unit, after Commander review. (ACTION)
- 30-32. There is no electronic log sheet or diary maintained to document expenditures or activities associated with the Area managed contract. (ACTION)

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

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Command: San Luis Obispo	Division: Coastal	Chapter:	
Inspected by: Captain Bill Vall	1111	Date: 11/21/2008	

	document basis for response)
Attached is a copy of the new Standard Operating Procedures for Fiscal Accor	untability.
Inspector's Comments: Shall address non concurrence by commander (e.g., findings reetc.)	vised, findings unchanged,

The following corrective action was taken:

Chapter 3 - Command Procurement

Corrective Action Plan/Timeline

Purchases

- 1. All submitters and command approvers received ReDS Training on December 2, 2008. This was also addressed in the new Standard Operating Procedure chapter on Fiscal Controls/ Management Procurement.
- 9. The new ReDS program eliminates the need for a CHP 315, Price Comparison Worksheet, as it is incorporated into the completion of the CHP 43, Purchase Requisition.
- 10. Since the new ReDS program has incorporated the CHP 315 into the worksheet, they will be electronically filed with the requisition number.

Cal Card Program

- 2. Area has received the STD. 21, Drug Free Workplace certification, and STD. 204, Payee Data Record form, for all vendors used for supplies. For the statewide contracts, these forms are held at Contracts Management Unit.
- 3. Area has sent out the CHP 204, Payee Data Record form, to all vendors and is slowly getting them returned.
- 4. Area has received the CIWM Form 74 from the three vendors used for recyclable supplies.
- 5. Area has received copies of the DVBE certification for all qualified vendors.
- 14. Both the Cal Card holders and supervisor completed Cal Card training on January 14, 2008.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page	5	of	5
------	---	----	---

Command: San Luis Obispo	Division: Coastal	Chapter:	
Inspected by: Captain Bill Vail		Date: 11/21/2008	-100

X-Number Program

- 2. Area has received the STD. 21, Drug Free Workplace certification, and STD. 204, Payee Data Record form, for all vendors used for services. Additionally, Area received copies of the DVSB certificates from Jerry's Plumbing and Thoma Electric.
- 12. Area received small business certificates from both vendors.
- 13. See #2 above.

Contracts

- 18. The Tow Truck Officer and Field Operations Lieutenant have completed the CHP 78X, Conflict of Interest Statement.
- 25 and 27. All contract workers have completed background fingerprint and driver license checks. This information was sent to Contracts Services Unit.
- 30-32. Additionally, an electronic log was created to track the funds expended on all contracts managed by the Area.

Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE	12/14/US
	ANSPECTOR'S STIGNATURE	12/10/U8
Reviewer discussed this report with employee Concur Do not concur	AREVIEWER'S SIGNATURE	DATE

STATE OF DAMFORNIA
DEPARTMENT OF CHUFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
Clampter 4
Fiscal Controls

Сотинов SLO-745	Coastal	Number:
Evaluated by: Capt. W. I	3. Vail	Date: 11/19/08
OSSI Tine	weller	Dale: 11/19/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or till in the blanks as Indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Comment and addressed to the next level of command, discrepancies and/or deficiencies shall be documented on an Exceptions Comment and addressed to the next level of command. Furthermore, the menorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Pollow-up inspection, the "Follow-up inspection" box shall be marked and only deficient items need to be re-inspected.

puls Transmission		Lead Inc.	necrate Signi	sture:	
LAND CHARACTOON					
☐ Division Level ☐ Go	mmand Level		1		
Office of Inspections Wo	luntary Sett-Inspection		//		/ Links
I res Lino	Follow-Up Inspection	Conuntati	dar's Signatu	A Company	11/24/08
For applicable policies, refer to State Manual (SAM), HPM 11.1, Chapter Chapter 2.	ዓ, ልጠር/ FIP (VE 17152 ₄₎			-	
is management actively involved approving paperwork related to preparing collections?	receiving and	⅓ Yes	ON [□ЫА	Remarks:
Does the command have Stand Procedures (SOP) to provide ne for overall management and acc receiving and prepaning collection	countability of	₹ Yes	☐ Mo	□ N/A	Remarks
Does the command have adequated duties for collections received?	ate separation of	X Yes	No	□ N/A	Remarks
Does the command have adequited for the cash receipt proces.	ate reparation of	X Yes	Mo	DNIA	Remarks:
is access to the safe and/or vaul restricted?	t appropriately	☐ Yes	□No	AJN X	Rematks:
6. Does a record exists which ident to the safe and/or vault and what occur?	ides who has access reacces in access	☐ Yes	□ No	X M/A	Remarks
 Was the lock combination chang number of employees were away combination, transferred out of the requires excess? 	re of the ne Area, or no longer	[] Yes	☐ Mo	XI N/A.	Remerks:
8. Is the safe securely anchored to	he building?	Yes	☐ Mo	X N/A	Remarks
Are weekly transmittal reports pro accordance with departmental oc	licy?	∐ Yes	X No	□ N/A	Repairs Action
10. Is the weekly transmittal report(s) Management Section (FMS) with	submitted to Fiscal n five working days	X Yes	∏ Nb	□ NIA	Remarks:

STAFE OF CAUFORNIA
DEPARTMENT OF CAUFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
Chapter 4
Placal Controls

					- 1000 CONTRACTOR CONT
	\$1. Does the command submit the following forms with the weekly transmitted when applicable?	\\\Z\\\	5 🗆 No	a □ N	A Remarks:
	 CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors. 				
	(2) CHP 38, Evidence/Property Receipt/Report			100	
	(Unclaimed Property).	1 "			1
	(3) STD 634, Absence and Additional Time Worked				1
-	Report, for jury duty. (4) OHP 221, Molicious Damage Report.	1		1	
	(5) OHP 404, Traffic Control Cost Estimate ~	1	1		l l
1	Advance Deposit.	1			
L	(5) Civil subpotents.				
1	12. Is a memorandum for cash shortages prepared if	X Yes	. □ NO	- I □ NP	Remarks:
1	13. Does the command posure the information written on		1	1	
1	the onunter receipt is complete and legible?	X Yes	. ☐ Mo	□ N/A	Remarks:
t	14. Was a countervectipt issued for each witness fee	T			Remarka:
	deposit received?	X Yes	□ No	□ N/A	1 Methods
ſ	15. Was a counter receipt issued for each movie,	X Yes		ANA []	Remarks:
H	vide-load, and special event detail(\$)?	1.50 163			
	including the sale of discarded tires, funk batteries.	Ø Yes	∫ □ No	□ M/A	Remarks:
l	used rators, and other cash received?				
	17. Is seles tax added to items that are not for resale?	X Yes	□ No	□ NÆ	Remarks
Γ	18. Are all counter receipts pre-numbered and issued in			C	Segment Action
L	numerical sequence?	Yes	avi K	_ □ NłA	See Attached_
	 Were transfers of counter receipt contacted the between field commands reported on a CHF 28BA. 	Yes	□ No	XI NEA	Remarks:
	Credit Memo - Nos-Equipment?	I III 182	5,55] = ,	
	20. Is the STD 439, Disbursement Voucher, properly				Remarks:
	authorized and completed to support expenditure?	X Yes	□No	MA	
	21. Are the OHP 284, Petly Oash Replenishment	☐ Yes	Z No	□ N/A	RemarkaAction
	Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each	☐ 452	131100	I LA MILA	See Attached
	disonly in the store of the state of the sta				
	22. Is the CHP 284 propedy authorized?			I	Denanties
		X Yes	Nσ	□ N/A	Remarks.
	23. Does the total ensount of cash, receipts on hand, and	ĭ Yes	aki 🔲	□N/A	Remarka;
	receipts in Iransii equal the total of petity cash and change funds?	EN 185	□ INO	TITALY	
-	24. Is there documentation to support periodic reviews of				
	petty cash and change funds performed by the	X Yes	□ No	□ N/A	Remarks:
	commender at designated person?				- XX
	25. Are overages and shortages of the petty cash		Du. 1	AVII 🖾	Remarks:
	funds reported to Fiscal Management Section?	Yes	☐ No_	ET IMA	

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स्टामार्थकः.	AIN	0M X	asY □	30. Did the connanand circumvent the dollar thinfothor by
2.84712455	ANI 🗌	ON X	eay 🗌	Ferngii bejidirlorq eserloruq ot bazu rizeo श्रीवद् श .AS.
व्यक्षामध	ANN 🗌	oM 🗌	多人区	28. Are all petfy desh perchasea und∉r \$50?
. निस्त्रीनीर्फ	ANN 🗌	0N 🗀	a∋y 🗓	abrunt haro yiliga bora 50% č tavo abrunt ograpo. 1797 - Over 5200 kept in Best og valle, or money eherst 1890 - Selevate te selfepting og speller
प्र स्थावपस्यः	ANA 🗀	ON X	[]	28, Weve change funds used to craft checks, money orders or cashierlieveles checks?

STATE OF CALFORMA MICHANAY PATROL OERATIVEMT OF CALLON PROGRAM MARPECTION PROGRAM Chapter 4 Figural Cantitots

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COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Pag	le	1	of	2
1 4	. ~	,	_	

Command: San Luis Obispo	Division: Coastal	Chapter:	
Inspected by: Captain Bill Vai		Date: 11/21/2008	

shall be routed to and its due date. This improvement, identified deficiencies, cor TYPE OF INSPECTION Division Level Command L	110	Total hours expended on the inspection:		☑ Corrective Action Plan Included
Executive Office Level		30 hours		
Follow-up Required:	Forwa	rd to: Coastal Div		
⊠ Yes □ No	Due D	ate: 12/10/2008		
Chapter inspection				
Inspector's Comments Regar	ding Ir	novative Practices:	0.00000	
			-00:	
Command Suggestions for St	atewic	e Improvement:		4.10

Inspector's Findings:

- 9. All CHP 230, Weekly Transmittal, forms were inspected from January 1, 2008 through June 30, 2008. One transmittal was not signed by the preparer and one did not have a copy of the money order obtained for transfer. (ACTION)
- 18. During the reconciliation of the CHP 230, Weekly Transmittal, and the CHP 251, Counter Receipt, forms it was discovered Area had been following the headquarters retention schedule of six months. Policy states all field commands shall retain CHP 251's for a period of 3 years. (ACTION)
- 21. Area had not requested replenishment of petty cash in accordance with departmental policy. Area had been advised by Fiscal Management Section to submit a request when the amount used was in excess of \$50.00. Area will ensure requests are processed in accordance with departmental policy. (ACTION)

Additional Information: Although not specifically addressed in the Fiscal Controls chapter, all CHP 735, DUI Cost Recovery, forms were inspected. It was discovered Area was unable to accurately reconcile the total number of hours claimed for reimbursement. Area has made changes to the Standard Operating Procedures to ensure copies of the officer's CHP 415, Daily Field Record, are attached.

COMMAND INSPECTION PROGRAM

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Command: San Luis Obispo	Division: Coastal	Chapter; 4
Inspected by:		Date:
Captain Bill Vai	1	11/21/2008

EXCEL HOUS DOCOMENT	Captain bill vali	
Page 2 of 2		
		:
Commander's Response: ⊠ Concur or □ I	Do Not Concur (Do Not Concu	ur shall document basis for response)
Attached is a copy of the new Standard Ope	rating Procedures for Fisca	l Accountability.
Inspector's Comments: Shall address non cond	currence by commander (e.g., fir	idings revised, findings unchanged,
etc.)		
: Reguires action		
Corrective Action Plan/Timeline	никименчикования възгоря възгания выменя на постояна и по	maticus nixonium sonominis tarinoi rinsima obizionim eximponim e propresentari
The following corrective action was taken:		
Chapter 4 - Fiscal Control		
 The CHP 230, Weekly Transmittal, for Standard Operating Procedure (SOP) was accountability. The SOP outlined the requiremention periods. 	created to provide guidance ar	nd direction for ensure fiscal
18. The SOP outlined the requirement for periods.	retention of copies of all requ	ired documents and retention
21. Area SOP addresses the need to ensure	e petity cash is replenished as r	equired by policy.
_ · · · · · · · · · · · · · · · · · · ·	MANDER'S SIGNATURE	DATE
the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	MA MIX	12/10/08
rīys r	PCJOR'S SIGNATURE	DATE

REVIEWER'S SIGNATURE

employee Concur

Reviewer discussed this report with

Do not concur

Memorandum

Date:

December 22, 2008

To:

Coastal Division

From:

DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

Santa Maria Area

File No.:

750.12036.Ch3 Inspection

Subject:

CHAPTER 3 INSPECTION

Santa Maria Area has completed its Chapter 3, *Command Procurements*, command level inspection as directed by the Office of Inspections. The self inspection encompassed four specific aspects as specified in HPM 22.1, *Command Inspection Program Manual*: Cal-Card, Contracts, Purchases, and X-Number Program. I have reviewed the attached inspection forms and no issues of concern were identified.

M. L. OLSON, Lieutenant

Commander

Attachments

Page

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Division: Coastal	Number: 750-08-002	
Santa Maria Evaluated by: Sgt. J. Ploetz	Date: 10/22/2008		
Assisted by: OSS-1 D. Wya		Date: 10/22/2008	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION □ Command Level ☐ Division Level □ Voluntary Self-Inspection Executive Office Level Date: ☐ Follow-up Inspection Follow-up Required: 10-31-08 ⊠ No Yes For applicable policy, refer to: HPM 11.1, Chapter 22 Is a CHP 78 Contract Request used to initiate all Remarks: □ N/A No service contracts which are repetitive, regardless of X Yes the estimated dollar value? 2. Is a CHP 78 Contract Request used for one-time Remarks: \square N/A X Yes □ No services exceeding \$4,999.99? 3. Is the Office of Primary Interest (OPI) tracking Remarks: ☐ N/A ☐ No X Yes numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? 4. Is the performance of contract services monitored Remarks: □ N/A ☐ No X Yes and documented? 5. Are all copies of correspondence with the vendor Remarks: ☐ N/A □ No ✓ Yes maintained? 6. Are letters for contracts documented and maintained Remarks: □ N/A which outline any problems related to substandard or ☐ No X Yes non-performance of the vendor? 7. Is the final product to be delivered described Remarks: N/A ☐ No specifically and in as much detail as possible in the X Yes CHP 78? 8. Are all required levels of approval/signature obtained, Remarks: □ N/A including the required documentation and approvals No for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

ntracts				
 Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing? 	⊠ Yes	□No	□ N/A	Remarks:
Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□No	□ N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□No	□ N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□No	□ N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□No	□ N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□No	□ N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□No	□ N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□ No	⊠ N/A	Remarks: Area hasn't had to implement emergency plan, but w follow established procedures with Division and Facilities section if an when an emergency occurs.
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	; □ No	□ N//	Remarks:
Are contract amendment request dollar amounts increased more than 30%?	☐ Yes	s No	⊠ N/	A Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Odificore				
21. Is the length of the contract amendment request more than one year?	☐ Yes	□ No	⊠ N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	☐ Yes	□No	⊠ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□No	⊠ N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	⊠ N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	☐ Yes	□No	⊠ N/A	Remarks:
 (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 				
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personne are scheduled to be on-site for more than 30 days:	Yes	□No	□ N/A	Remarks: All applicable outside contractors are checked prior to the beginning of their contract.
(1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair	r			

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements

Contracts

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	⊠ Yes	□No	□ N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□ No	□ N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	□No	□ N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	Yes	⊠ No	□ N/A	Remarks: Only a hard copy of a contract is kept in file.
32. Is a spreadsheet prepared listing all expenditures?	⊠ Yes	□No	□ N/A	Remarks: Division maintains spread sheet.
33. Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□No	[®] □ N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	□No	□ N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	⊠ N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks:
 Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09) 	⊠ Yes	. □ No	□ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. Ch. 7, Section 7.05)	☐ Yes	s No	⊠ N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I Ch. 4, Section 4.09)	, \ \ \ \ \ \ \ \ \ \ \ Yes	s 🛭 No	D N/.	A Remarks:

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1 of 2

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command:	Division: Coastal	Number:750-08-002
Santa Maria Evaluated by:		Date: 10/23/2008
Sgt. J. Ploetz Assisted by: OSS-1 D. Wya	tt	Date: 10/23/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION Division Level □ Voluntary Self-Inspection ☐ Executive Office Level Date: Commander's Signature Follow-up Inspection 11-5-08 Follow-up Required: Yes For applicable policy, refer to: HPM 11.1, Chapter 23 Are multiple X Numbers awarded to the same vendor Remarks: □ N/A ⊠ No ☐ Yes to circumvent the \$4,999 contract limit? 2. Does all X Number file documentation contain the Remarks: □ N/A □ No ✓ Yes STD. 204 Payee Data Record? 3. Do X Numbers requiring a contract (i.e., janitorial or Remarks: □ N/A □ No landscaping) have prior approval from the Business ✓ Yes Services Section commander? 4. Are X Number requests made prior to the date the Remarks: □ N/A ☐ No X Yes services are performed? 5. Are X Numbers issued for a one-time use? Remarks: \square N/A □ No X Yes Are prohibited services performed using an X Remarks: □ N/A ⊠ No ☐ Yes Number? 7. Are X Numbers used for the procurement of a Remarks: □ N/A ☐ No ✓ Yes service and not the purchase of a commodity? 8. Are X Numbers issued for telecommunications Remarks: N/A □ No Yes related services pre-approved by Telecommunications Section? 9. Do X Numbers used for facilities related services Remarks: ☐ N/A □ No (such as roof repair, electrical) costing over \$1,000 ✓ Yes have prior approval from Facilities Section? Do X Numbers issued for lapsed contractual Remarks: ⊠ N/A □ No agreements have prior approval by the appropriate Yes Assistant Commissioner?

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

	11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	Yes	⊠ No	□ N/A	Remarks: Area attempts to obtain 3 bids, however, due to Area size some bids contain only two price quotations.
	12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□No	□ N/A	Remarks:
	13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□ No	□ N/A	Remarks:
-	14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□ No	□ N/A	Remarks:
	15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□No	□ N/A	Remarks:
1				With the second	

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1 of 3

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Purchases

Command:	Division:Coastal	Number:750-08-002
Santa Maria Evaluated by: Sqt. J. Ploetz		Date: 10/24/2008
Assisted by: OSS-1 D. Wya	tt	Date: 10/24/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, applicable legal statues, or deficiencies noted in the inspections shall be discrepancies and/or deficiencies shall be documented on an Exception Furthermore, the Exceptions Document shall include any follow-up and Inspection, the "Follow-up Inspection" box shall be marked and only de	ns Document	and address	aken. If this	form is use	cies with policy, Iditionally, such f command. ed as a Follow-up
Hisposistiff and					
TYPE OF INSPECTION	Lead Inspect	ors Signature	•		
☐ Division Level ☐ Command Level	1.1	let	_		1
☐ Executive Office Level ☐ Voluntary Self-Inspection	Commander	s Signature:	2.0		Date:
Follow-up Required: Yes No	111	20	Vr		10-31-08
For applicable policy, refer to: HPM 11.2, Chapter 7		·			
Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?	⊠ Yes	□No	□ N/A	Remarks:	
Have Approvers/reviewers of purchases received procurement training?	⊠ Yes	□No	□ N/A	Remarks:	
3. Are prohibited items procured on CHP 43, Purchases Requisitions?	☐ Yes	⊠ No	□ N/A	Remarks:	
 Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 					
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	⊠ Yes	□ No	□ N/A	Remarks:	
5. Is all required information entered on the CHP 43, Purchase Requisition?	⊠ Yes	□ No	□ N/A	Remarks:	
 Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)? 	⊠ Yes	□No	□ N/A	Remarks:	
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	⊠ Yes	□ No	□ N/A	Remarks:	

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements

Purchases

⊠ Yes	□No	□ N/A	Remarks:
⊠ Yes	□No	□ N/A	Remarks:
⊠ Yes	□No	□ N/A	Remarks:
⊠ Yes	□ No	□ N/A	Remarks:
⊠ Yes	□ No	□ N/A	Remarks:
☐ Yes	□No	⊠ N/A	Remarks:
⊠ Yes	□No	□ N/A	Remarks:
⊠ Yes	□ No	□ N/A	Remarks:
⊠ Yes	☐ No	□ N/A	Remarks:
⊠ Yes	∏ No	□ N/A	Remarks:
S X Yes	s □ No	□ N/A	Remarks:
ver 🛭 Yes	s DNo	. □ N//	A Remarks:
	 Yes 	Yes	Yes No N/A Yes No N/A

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	No	□ N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□ No	□ N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□ No	□ N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□No	□ N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command:	Division:Coastal	Number:750-08-002
Santa Maria Evaluated by: Sgt. J. Ploetz		Date: 10/24/2008
Assisted by: OSS-1 D. Wya	tt	Date: 10/24/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION □ Command Level J. Plack Division Level □ Voluntary Self-Inspection ☐ Executive Office Level Commander's Signature; Follow-up Inspection Follow-up Required: \boxtimes No Yes For applicable policy, refer to: HPM 11.2, Chapter 3 1. Are all employees associated with the use of the Cal-Remarks: □ N/A ☐ No Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form? 2. Are STD. 21 Drug Free Workplace certifications Remarks: □ N/A maintained within the Cal Card command file for □ No Yes each vendor utilized? 3. Are STD. 204 Payee Data Record forms maintained Remarks: □ N/A ☐ No in the Cal Card command file for each vendor ⊠ Yes utilized? 4. Are California Integrated Waste Management Board Remarks: □ N/A ☐ No Form 74 documents maintained for each vendor ⊠ Yes utilized? 5. If the vendor is a small business or DVBE is utilized, Remarks: □ N/A ☐ No is the certification letter from the Department of ⊠ Yes General Services maintained in the file? 6. When fair and reasonable is utilized, is the fair and Remarks: □ N/A □No reasonable method documented and properly ✓ Yes justified? Are purchases split into multiple transactions in order Remarks: \square N/A ☐ Yes ⊠ No to circumvent transaction purchase limits? Does the CHP 317 Cal Card Log fully describe the Remarks: □ N/A ☐ No 🛛 Yes purchase? 9. Are bank statements reconciled with the CHP 317 Remarks: □ N/A ☐ No Cal Card Log and the receipts/invoices? 🖾 Yes

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□No	□ N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□ No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□ No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	Yes	⊠ No	□ N/A	Remarks:

Memorandum

Date:

November 7, 2008

To:

Santa Barbara Area

From:

DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

Santa Barbara Area

File No.:

760.13154

Subject:

CHAPTER 3 INSPECTION. COMMAND PROCUREMENTS.

On November 7, 2008, Lieutenant Dane Lobb, #13154, conducted a Command Procurements inspection. This inspection is divided into four sections.

Section 1, Purchases.

Area is in compliance with the purchase policy outlined in HPM 11.2, Chapter 7. Question #2 on page 3-7 states: Have Approvers/reviewers of purchases received procurement training? No formal Departmental training has been provided. Training has come from in house staff and from on the job training.

Section 2, Cal-Card Program.

No small business or disabled/veterans business enterprises are available in the area for items which are needed and or purchased by Area.

Section 3, X-Number Program.

Coastal Division maintains a file with all of the STD. 204 Payee Data Records.

Section 4, Contracts.

All contracts are current and procedures followed with regard to the completion and processing of CHP 78's.

No problems or concerns were noted during this inspection.

D. F. Lobb

Lieutenant

Attachments

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: Division:Coastal Ventura		Number:765
Evaluated by: Lt. A. L. Baxter		Date: 12/31/08
Assisted by: Sqt. D. Hong		Date: 12/31/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up inspection, the "Follow-up inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION.	Lead Inspe	ctor's Signatu	ire:	p ==		
☐ Division Level ☐ Command Level	a	Bay	之			
☐ Executive Office Level ☐ Voluntary Self-inspection	¥I			3. g		
Follow-up Required:	Commande	er's Signature	Will.	Date: 10/09		
For applicable policy, refer to: HPM 11.1, Chapter 22	<i>O</i>	520				
 Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value? 	⊠ Yes	⊡ No	□ N/A	Remarks:		
 Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99? 	☐ Yes	□ No	⊠ N/A	Remarks:		
 Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "<u>CP" for contract payable</u> listed on the CHP 78? 	☐ Yes	∝⊠ Ņo	□ N/A	Remarks: The tracking number provided by division did not include a CP.		
4. Is the performance of contract services monitored and documented?	⊠ Yes	□No	□ N/A	Remarks:		
5. Are all copies of correspondence with the vendor maintained?	☐ Yes	⊠ No	□ N/A	Remarks: Invoices only.		
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	☐ Yes	☐ No	⊠ N/A	Remarks:		
*	, year			18 , r 9#		
 Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78? 	⊠ Yes	☐ No	□ N/A	Remarks:		
 Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A? 	⊠ Yes	□No	□ N/A	Remarks:		

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

9.	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	Yes	⊠ No	□ N/A	Remarks: The contract was verbally approved by Contract Services Unit.
<i>¥</i>	Is all work completed and accepted by the Department before expiration of contract agreement?	☐ Yes	☐ No	⊠ N/A	Remarks: The Contract request for shredding services has not yet been approved.
11.	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	☐ Yes	□ No	⊠ N/A	Remarks: The new contract being requested for paper shredding services has not been approved.
12.	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□ No	□ N/A	Remarks:
13.	Are contract expenditures monitored to ensure there are sufficient funds to pay for all services rendered as required by contract?	⊠ Yes	□No	□ N/A	Remarks: With assistance from Facilities Section.
14.	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes'	□No	□ N/A	Remarks:
15.	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□ No	□ N/A	Remarks:
16.	Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□No	□ N/A	Remarks:
	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	[™] No	⊠ N/A	Remarks: Emergency contract for roof leak completed by Facilities Section.
2.	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks:
	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□No	□ N/A	Remarks: Through the email system to Facilities Section.
20.	Are contract amendment request dollar amounts increased more than 30%?	□Yes	∏No	⊠ N/A	Remarks:

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

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21.	is the length of the contract amendment request more than one year?	☐ Yes	□No	⊠ N/A	Remarks:
22.	Are amendments requested before the expiration of the original contract?	☐ Yes	□ No	⊠ N/A	Remarks:
23.	Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks:
24.	Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	☐ No	⊠ N/A	Remarks:
25.	Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of	☐ Yes	☐ No	⊠ N/A	Remarks:
¥	the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services		s u	2	* × *
26.	Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	☐ Yes	□ No	⊠ N/A	Remarks:
2	(1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair		N	8	
al .	 (13) Painting Services (Interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair 	*		Js/4	8 5 5 7
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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27	. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	Yes	□ No	⊠ N/A	Remarks:
28.	Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊡ Yes	□ No	⊠ N/A	Remarks:
29.	Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	.□ No	□ N/A	Remarks:
30.	Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	⊠ No	□ N/A	Remarks:
31.	Is a computer file prepared for all contracts administered?	⊠ Yes	☐ No	□ N/A	Remarks:
	Is a spreadsheet prepared listing all expenditures?	⊠ Yes	□No	□ N/A	Remarks:
33.	Is the notification to the contractor documented for the start date for services to begin?	☐ Yes	□ No	⊠ N/A	Remarks:
34.	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	☐ No	⊠ N/A	Remarks:
35.	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□ No	⊠ N/A	Remarks:
36.	Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ Ņ/A	Remarks:
	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	· · · · · · · · · · · · · · · · · · ·	□No	□ N/A	Remarks:
38.	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	Yes	□ No	⊠ N/A	Remarks: Area does not oversee any personal service contracts.
39.	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM

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Command: Ventura	Division: Coastal	Chapter: 3, Contracts
Inspected by: Lt. A. L. Baxter		Date: 12/31/08

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

additional space is required.							
TYPE OF INSPECTION		Corrective Action Plan Included					
☐ Division Level ☐ Command I	Level	Appeal included					
Executive Office Level	×	Attachments Included	*				
Follow-up Required:	Forward to: Lt. G. Williams	Commander's Signature:	Date:				
☐ Yes	Due Date: 12/31/08	(hoseply Whiles	1/19/95				
Chapter Inspection:	The first of the second of the						
Inspector's Comments Regar	rding Innovative Practice	es:	72				
N/A	9	25					
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		a 6					
Command Suggestions for S	tatewide Improvement:	2					
It may be helpful to include the	is training in Middle Mar	nagement Training.					
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Inspector's Findings:	19	4					

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Command: Ventura	Division: Coastal	Chapter: 3, Contracts
Inspected by: Lt. A, L. Baxter	E 27	Date: 12/31/08

Page 2

Commander's Response:	19	K.	

Inspector's Comments:

Area is in the process of requesting a contract for paper shredding services. All other contracts for the Area are sent out for bid and managed by Facilities Section.

Required Action Corrective Action Plan/Timeline

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Command: Ventura	Division: Coastal	Chapter: 3, Contracts
Inspected by: Lt. A. L. Baxter		Date: 12/31/08 -

Page 3

Appeal Proces	S. (Appeals shall be filed	d within five (5) business davs o	of the completed	chapter inspection)	
	Basis for Appeal:	t, a time	And a state of the	a de la companya de l	A STATE OF THE SECOND STAT	
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Appeal Review	/Decision: (This shall I	be the only lev	el of appeal).		-1000	
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Lead Inspector's Signature:	Date:	688
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Responding Commander's Signature (for appeal):	Date:	

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Purchases

Command: Ventura	Division: Coastal	Number: 765
Evaluated by: Lt. A. L. Baxter		Date: 12/31/08
Assisted by: OSS D, Hirsch		Date: 12/31/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.								
TYPE OF INSPECTION	Lead Inspe	ctor's Signatu	re: Ott	Bate, it				
☐ Division Level ☐ Command Level	ň		نت	Juge, a				
Executive Office Level			2	T. T.				
Follow-up Required: Yes No Follow-up Inspection	Commande	er's Signature	hill sig	Date: 1/6/09				
For applicable policy, refer to: HPM 11.2, Chapter 7	*0		· · · · · · · · · · · · · · · · · · ·) ¥				
 Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing? 	⊠ Yes	□ No	□ N/A	Remarks:				
Have Approvers/reviewers of purchases received procurement training?	Yes	⊠ No	□ N/A	Remarks: Will attend training at Division on January 14, 2009.				
 3. Are prohibited items procured on CHP 43, Purchases Requisitions? Supplies for personally – owned equipment Commodities for personal use Confirming order 	☐ Yes	⊠ No	□ N/A	Remarks: Office Supplies purchased through Micro League contract are ordered via the internet and it is our understanding this is the appropriate method.				
Purchases via the internet	155			4				
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	⊠ Yes	□ No	□ N/A	Remarks:				
5. Is all required information entered on the CHP 43, Purchase Requisition?	☐ Yes	⊠ No	□ N/A	Remarks:				
 Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)? 	⊠ Yes	□ No	□ N/A	Remarks:				
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	⊠ Yes	[*] □ No	□ N/A	Remarks: 765PR8019				

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

	8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks:
	9.	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks: If not using a state contract.
	10.	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks: 765PR040
	11.	Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□ No	⊠ N/A	Remarks:
	12.	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	□No	⊠ N/A	Remarks:
	13.	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	Yes	□No	⊠ N/A	Remarks:
8	14.	Are items checked immediately for content and damage when delivered?	⊠ Yes	□	□ N/A	Remarks:
	15.	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	∏ Ño	□ N/A	Remarks:
	(4	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□No	□ N/A	Remarks:
	17.	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□No	□ N/A	Remarks:
		Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
	19.	Are <u>Damaged Items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	☐ Yes	□No	⊠ N/A	Remarks: Nothing was delivered damaged in 2008.

COMMAND INSPECTION PROGRAM

INSPECTION.CHECKLIST

Chapter 3, Command Procurements Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	☐ Yes	□ No	⊠ N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□No	□ N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□No	□ N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	☐ Yes	⊠ No	□ N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Command: Ventura	Division: Coastal	Chapter: 3, Purchases		
Inspected by: Lt. A. L. Baxter		Date: 12/31/08		

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans; and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

Corrective Action Plan Included				
Appeal Included				
Attachments included				
Commander's Signature: Date:				
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,				
Thomps Wald 1/6/09				

- 5. Not all information for price and supplier was found on all CHP 43's. Those CHP 43's this applied to were orders for service awards. Although not filed out completely, Purchasing Authority Purchase Orders arrived at the area with approval and this information completed. OSS I Hirsch received training on how to obtain this information and with the ReDS program going on-line CHP 43's will not be allowed to be submitted without this information.
- 23. We were unable to review the SCM Vol II, Ch. 2. Topic 11. When accessing the website only Vol I is available. The majority of our purchases are through a state contract. Most equipment bought is to replace existing computers, camera's, and printers.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Commander's Response:

Required Action

Corrective Action Plan/Timeline

Command: Ventura	Division:Coastal	Chapter:CH 3, Purchases
Inspected by: Lt. A. L. Baxter	2	Date: 12/31/08

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COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Command: Division:Coastal Chapter:CH 3, Purchases
Inspected by: Date: 12/31/08

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Comman	der's Basis	s for Appeal:		business da			W (Va.
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Appeal R	eview/Deci	ision: (This sha	all be the only leve	of appeal).			
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Date:

Responding Commander's Signature (for appeal):

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: Division:Coastal		Number:765
Ventura	ji.	
Evaluated by: Lt. A. L. Baxter	18	Date: 12/31/08
Assisted by: Sergeant D. Ho	ng	Date: 12/31/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

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TYPE OF INSPECTION	Lead Inspe	ector's Signatu	ire: an	Baute, ut
☐ Division Level ☐ Command Level	: t:			3003,-
☐ Executive Office Level ☐ Voluntary Self-Inspection				· · · · · · · · · · · · · · · · · · ·
Follow-up Required:	Commande	er's Signature:	Sho	Date: 1/6/09
For applicable policy, refer to: HPM 11.1, Chapter 23				a
Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	☐ Yes	⊠ No	□ N/A	Remarks:
Does all X Number file documentation contain the STD. 204 Payee Data Record?	⊠ Yes	□No	□ N/A	Remarks:
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	⊠ Yes	□ No	□ N/A	Remarks:
4. Are X Number requests made prior to the date the services are performed?	☐ Yes	⊠ No	□ N/A	Remarks:08-765-032
5. Are X Numbers issued for a one-time use?	⊠ Yes	☐ No	□ N/A	Remarks:
6. Are prohibited services performed using an X Number?	☐ Yes	⊠ No	□ N/A	Remarks:
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	⊠ Yes	□ No	□ N/A	Remarks:
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	⊠ Yes	□No	□ N/A	Remarks
 Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section? 	⊠ Yes	□ No	□ N/A	Remarks: Yes all X-numbers for Facility services are approved through Facilities Section regardless of cost.
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	☐ Yes	□No	⊠ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a no vendor contain three price quotation		⊠ Yes	□No	□ N/A	Remarks:	±	
12. Do all X Numbers awarded to a sm vendor contain the small business the Department of General Service	certification from	☐ Yes	⊠ No	□ N/A 	Remarks:	¥0	
13. Does the file documentation contain Drug Free workplace certification for vendors?		☐ Yes	⊠ No ీ	□ N/A	Remarks:		55
14. Do emergency service X Numbers justify the emergency?	document and	⊠ Yes	□ No	`□ N/A	Remarks:		y
15. Is the itemized invoice for each X N maintained in the command's files?		∑ Yes	□ No	□ N/A	Remarks:	2	(•)

COMMAND INSPECTION PROGRAM

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Command: Ventura	Division: Coastal	Chapter: 3, X-Number Program
Inspected by: Lt. A. L. Baxter		Date: 12/31/08

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

additional space is required.					
TYPE OF INSPECTION		☐ Corrective Action Plan Included			
☐ Division Level ☐ Command Level		☐ Appeal Included			
☐ Executive Office Level	200.	Attachments Included			
Follow-up Required:	Forward to: Lt. G. Williams	Commander's Signature:	Date:		
☐ Yes │ ☒ No	Due Date: 12/31/08	Cloon Wall	1/6/09		
Chapter Inspection:					
Inspector's Comments Rega	arding Innovative Practice	es:			
N/A	g san	300 2 3			
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g: (80)	E	34	0 ³⁸ ₁₅₀ 3		
Command Suggestions for	Statewide Improvement:				
It may be helpful to include	this training in Middle Ma	nagement Training.			
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- 4. Service was completed for this CHP 78 request prior to approval of an X-number. This service was initiated by our new Auto Tech who was not aware of the requirements and did not seek approval prior to completing the task. The AT has since been informed of the proper procedure.
- 12. No X-numbers in 2008 were awarded to small businesses. Many in 2007 indicated as small businesses but certification was not attached. Since 2007 Ventura has hired a new OSS I who is aware of this requirement and will be receiving additional training on January 14, 2008.
- 13. This form is not attached to X-Number vendors. OSS I Hirsch will be obtaining this form from venders in the future.

Inspector's Findings:

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Command: Ventura	Division: Coastal	Chapter: 3, X-Number Program
Inspected by: Lt. A. L. Baxter	340	Date: 12/31/08

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Commander's R	esponse:		110	8	*	U	
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Inspector's Com	ments:	TW.				·	

Required Action

Corrective Action Plan/Timeline

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 3

Command: Ventura	Division: Coastal	Chapter: 3, X-Number Program
Inspected by: Lt. A. L. Baxter		Date: 12/31/08

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Appeal Process: (A		ed within five (5) busine	ss days of the	completed ch	apter inspection).	
Commander's Basis	s for Appeal:	-176 2		27//		
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Appeal Review/Dec	ISION: (This shall	l be the only level of ap	peal).			
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Lead Inspector's Signature:		20 WM		Date:		
Lead Inspector's Signature:	2 - CT			1/5/	09	4)
Responding Commander's Sig	gnature (for appeal):			Date:		

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Ventura	Division:Coastal	Number:765
Evaluated by: Lt. A.L. Baxter	*	Date: 12/31/08
Assisted by: OSS I D. Hirsch		Date: 12/31/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inspector's Signature:
☐ Division Level ☐ Command Level	×
☐ Executive Office Level ☐ Voluntary Self-Inspection	
Follow-up Required:	Commander's Signature: Date: 1669
For applicable policy, refer to: HPM 11.2, Chapter 3	
 Are all employees associated with the use of the Cal- Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form? 	☐ Yes ☐ No ☐ N/A Remarks:
 Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized? 	☐ Yes ☐ No ☐ N/A Remarks:
 Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized? 	☐ Yes ☑ No ☐ N/A Remarks:
Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	☐ Yes ☐ No ☐ N/A Remarks:
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	☐ Yes ☐ No ☐ N/A Remarks:
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	Yes No No Remarks: Majority of purchases made through a State Contract.
Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	☐ Yes ☐ No ☐ N/A Remarks:
Does the CHP 317 Cal Card Log fully describe the purchase?	☐ Yes ☐ No ☐ N/A Remarks:
Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	☐ Yes ☐ No ☐ N/A Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

	s the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□No	□ N/A	Remarks:
	Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□ No	□ N/A	Remarks:
C	Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	☐ Yes	⊡ No	⊠ N/A	Remarks:
13. <i>A</i>	Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
	Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□No	□ N/A	Remarks:
	Have all cardholders received training on the Department's procurement processes?	☐ Yes	⊠ No	□ N/A	Remarks: Training will be conducted in Division on January 14, 2009.
	Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM

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Command: Ventura	Division: Coastal	Chapter: 3, Cal Card Program
Inspected by: Lt. A. L. Baxter	· (6)	Date: 12/31/08

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

□ Division Level ☑ Command Level . □ Appeal Included □ Executive Office Level □ Attachments Included Follow-up Required: □ Commander's Signature: □ Date: □ Yes □ No □ Due Date: □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □	TYPE OF INSP	PECTION									
Follow-up Required: Yes No Due Date: Due Date: Inspector's Comments Regarding Innovative Practices:	Division L	☐ Division Level Command Level .			☐ Appeal	Included		9			
Follow-up Required: Yes	☐ Executive Office Level			☐ Attachn	nents Included						
Chapter Inspection Inspector's Comments Regarding Innovative Practices:	Follow-u	p Required:	Forward	d to:	Commande	er's Signature:	-	Date:			
Inspector's Comments Regarding Innovative Practices:	⊠ Yes	- □ No	Due Da	te:	_ Octob	- Was	2	1/6/09	3		
N/A	Chapter In	spection:		Part (1) Sec. 75. Sec. 25. Hours II.		Park College College		ragagamarana ere cam Eragagamaran	ジェデ ジェデ		
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	Inspector's		Regarding Inr	novative Pra					20598		

Inspector's Findings:

- 1. The Commander is the only one who has a CHP 78S on file. During the inspection OSS I D. Hirsch completed a CHP 78S and PSDS II A. Webb will complete one when she returns from vacation on January 6, 2009.
- 2. The OSS ID. Hirsch was not familiar with the policy requiring these forms from the venders used for Cal Card purchases. She will have our regular venders complete the form for the Area files. She will also find out if Headquarters have STD 21's for the suppliers for state contracts.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

3. Again OSS I D. Hirsch was not familiar with the policy requiring these forms from the venders used for Cal Card purchases. She will have our regular venders complete the form for the Area files and check with the Program Activity Coordinator for those certified suppliers who already have documentation on file.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Command: Ventura	Division: Coastal	Chapter: 3, Cal Card Program
Inspected by: Lt. A. L. Baxter		Date: 12/31/08

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Commander's Response:	W _{eff}			La company
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Inspector's Comments:		*		9
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Required Action	
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Corrective Action Plan/Timeline	

OSS I D. Hirsch has been given 30 days to comply with the form requirements.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Command: Ventura	Division: Coastal	Chapter: 3, Cal Card Program
Inspected by: Lt. A. L. Baxter		Date: 12/31/08

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command:	Division:	Number:		
Conejo I.F.	Coastal	771		
Evaluated by:		Date:		
Sgt. M. Lamons	, #12339	10/22/2008		
Assisted by:		Date:		
L. Windt, Office	Tech.	10/22/2008		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.						
TYPE OF INSPECTION	Lead Inspector's Signature:					
☐ Division Level ☐ Command Level						
☐ Executive Office Level ☐ Voluntary Self-Inspection						
Follow-up Required: Yes No Follow-up Inspection	Command	der's Signature	e: 		Date:	
For applicable policy, refer to: HPM 11.2, Chapter 7						
 Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing? 	⊠ Yes	□No	□ N/A	Remarks:		
Have Approvers/reviewers of purchases received procurement training?	☐ Yes	⊠ No	□ N/A	Remarks: No provided.	formal training	
 3. Are prohibited items procured on CHP 43, Purchases Requisitions? Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 	☐ Yes	⊠ No	□ N/A	Remarks: All requisitioned items were inspected from September 20 through September 2008. None of the items purchased during this tim were prohibited.		
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	⊠ Yes	□No	□ N/A	Remarks:		
5. Is all required information entered on the CHP 43, Purchase Requisition?	⊠ Yes	□No	□ N/A	Remarks:		
 Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)? 	⊠ Yes	□No	□ N/A	Remarks:		
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	☐ Yes	□ No	⊠ N/A		expedited purchase le during 12 months	

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

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8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks:
9.	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
10	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□ No	□ N/A	Remarks: Missing CHP 315 on one purchase, however two price quotes were obtained and documented.
11	. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□No	⊠ N/A	Remarks: No Limited Competitive Bidding purchase requests were made during the 12 months evaluated.
12	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	□ No	⊠ N/A	Remarks:
13	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□No	⊠ N/A	Remarks:
14	. Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15.	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□ No	□ N/A	Remarks:
	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□No	□ N/A	Remarks: One purchase received (Gun Safe) did not include freight or packing slip. Delivery was provided by the seller.
17.	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□ No	□ N/A	Remarks:
	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
19.	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	☐ Yes	□No	⊠ N/A	Remarks: No items received by common carrier were damaged on delivery.

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

20	Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	☐ Yes	□No	⊠ N/A	Remarks: No requisitioned items meet criteria for the last 12 months evaluated.
21	. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□No	□ N/A	Remarks:
22.	Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	☐ No	□ N/A	Remarks:
23.	Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□ No	□ N/A	Remarks:
24.	Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

Additional Remarks:

Additional information outlining purchasing policies and procedures in conjunction with departmental guidelines are included in a facility clerical reference guide which serves as a guick reference.

All items evaluated were purchased subsequent to the purchase order and followed procurement rules for small business and competitive bidding.

Copies of the CHP 43, Purchase Requisition, and purchase orders are maintained at the command in a binder located in the administrative office. Items purchased were received and are currently being utilized for their intended purpose.

During the inspection it was noted the majority of items purchased utilized a Leverage Procurement Agreement (LPA) which exempts the purchase or contract requiring a CHP 78V or CHP 78S. One purchase involving a gun safe did not meet this exemption and did not contain a CHP 78V or CHP 78S as required. It was determined to be an oversight and no improprieties existed regarding this purchase.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
Command: Division:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: Conejo I.F.	Division: Coastal	Number: 771
Evaluated by: Sgt. M. Lamons, #12339		Date: 10/22/2008
Assisted by: Linda Windt, Office Tech.		Date: 10/22/2008

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INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE	F INSPECTION		Lead Insp	ector's Signat	ure:		
☐ Div	rision Level	Command Level					
☐ Exe	ecutive Office Level	☐ Voluntary Self-Inspection					
Fc [ollow-up Required: ☐Yes ⊠ No	Follow-up Inspection	Command	ler's Signature): 		Date:
For ap	oplicable policy, refer to	o: HPM 11.1, Chapter 23					
1.	Are multiple X Numbers to circumvent the \$4,99	s awarded to the same vendor 9 contract limit?	Yes	⊠ No	□ N/A	Remarks:	
2.	Does all X Number file STD 204 Payee Data F	documentation contain the Record?	⊠ Yes	□No	□ N/A	Remarks:	
3.		g a contract (i.e., janitorial or approval from the Business ander?	☐ Yes	□ No	⊠ N/A		o contracts requiring an X e utilized over the 12 uated.
4.	Are X Number requests services are performed	made prior to the date the	⊠ Yes	□No	□ N/A	Remarks:	
5.	Are X Numbers issued to	or a one-time use?	⊠ Yes	□No	□ N/A	Remarks:	171
6.	Are prohibited services Number?	performed using an X	☐ Yes	⊠ No	□ N/A	Remarks:	
7.	Are X Numbers used for service and not the purc		⊠ Yes	□No	□ N/A	Remarks:	
8.	Are X Numbers issued f related services pre-app Telecommunications Se	roved by	☐ Yes	□ No	⊠ N/A	Remarks: No period.	one noted for evaluated
9.	(such as roof repair, election have prior approval from		⊠ Yes	□ No	□ N/A	numbers for	of July 2008, all X- inspection facilities are e approved by Facilities
10.	Do X Numbers issued for agreements have prior a Assistant Commissioner	pproval by the appropriate	☐ Yes	☐ No	⊠ N/A	Remarks: No period.	one noted for evaluated

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	☐ No	□ N/A	Remarks: One non- small business identified as sole source- Empire Floor Machine
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□No	□ N/A	Remarks:

Additional Information:

Additional information outlining X-Number Service Request policies and procedures in conjunction with departmental guidelines are included in a facility clerical reference guide which serves as a quick reference.

All X-Number Service contracts were competitively bid when awarded to a non-small business vendor and contained three quotations with the exception of one awarded to Empire Floor Machine. This vendor was identified as a sole source for the service needed. All X-number service requests contained the necessary and required approvals. Services were not rendered prior to the service request start date.

Review of the X-Number Service file indicated all documentation was retained within the file for the appropriate retention period. X-Numbers are audited quarterly by the commander.

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command:	Division:	Number;
Conejo I.F. Coastal		771
Evaluated by:		Date:
Sgt. M. Lamons, #12339		10/22/2008
Assisted by:		Date:
L. Windt, Office Tech.		10/22/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE	OF INSPECTION	Lead Insp	ector's Signat	ure:			
Di 🗀	vision Level Command Level						
☐ Ex	ecutive Office Level						
F	ollow-up Required: ☐ Follow-up Inspection ☐ Yes ☐ No	Command	Commander's Signature: Date:				
For a	pplicable policy, refer to: HPM 11.2, Chapter 3						
	Are all employees associated with the use of the Cal Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	Yes	□No	⊠ N/A	Remarks: Se information of	ee under additional on page 2.	
2.	Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	⊠ Yes	□ No	□ N/A	Remarks:		
3.	Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	⊠ Yes	□No	□ N/A	Remarks:		
4.	Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	☐ Yes	□ No	⊠ N/A	made throug	pplicable purchases h mandatory state uiring CIWMB Form 74.	
5.	If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	⊠ Yes	□ No	□ N/A	Remarks:		
6.	When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	⊠ Yes	☐ No	□ N/A	Remarks:		
7.	Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	☐ Yes	⊠ No	□ N/A	Remarks:		
8.	Does the CHP 317 Cal Card Log fully describe the purchase?	⊠ Yes	□No	□ N/A	Remarks:		
9.	Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	⊠ Yes	☐ No	□ N/A	Remarks:		

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	☐ No	□ N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	☐ No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	☐ Yes	⊠ No	□ N/A	Remarks: No formal training provided. Area training and review of HPM 11.2 Chapter 3. CHP 317 A on file with Coastal Division.
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	Yes	⊠ No	□ N/A	Remarks:

Additional Remarks:

This evaluation covers a 12 month period from September 2007 through September 2008. In regards to question number one, policy outlining the use of the CHP 78S, Conflict of Interest Statement, Employee Form, is not contained in HPM 11.2 Chapter 3 covering Cal-Card purchases. Chapter 3 refers to procurement procedures explained in HPM 10.3, Chapter 14 which refers to the CHP 18, Receipt of Inconsistent and Incompatible Activities Statement permanently retained in the card users field file. Policy covering the use of the CHP 78S, is covered in HPM 11.2, Chapter 7, Purchases. This chapter was revised October 2008, outlining the use of the CHP 78S and CHP 78V. Additionally, these forms are exempt when using a Leverage Procurement Agreement often associated with mandatory state contracts such as for office and janitorial supplies (i.e. Grainger) which the majority of Cal-Card purchases are made.

Additional Cal-Card purchase policies and procedures are located within the command SOP and in a clerical duties reference guide. Cal-Card purchases followed procurement rules for small business and competitive bidding and were pre-approved by the commander or designee. Acquisitions of the same commodity were not separated into different orders to circumvent the dollar limitations.

Cal-Card records for the facility were maintained for the required retention period.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Division:	Number:
Conejo I.F.	Coastal	771
Evaluated by:		Date:
Sgt. M. Lamons, #12339		10/22/2008
Assisted by:		Date:
Linda Windt, Office Tech.		10/22/2008

applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: Command Level ☐ Division Level ☐ Executive Office Level □ Voluntary Self-Inspection Date: Follow-up Required: Follow-up Inspection Commander's Signature: ⊠ No Yes For applicable policy, refer to: HPM 11.1, Chapter 22 1. Is a CHP 78 Contract Request used to initiate all Remarks: Contracts initiated through N/A Yes ☐ No service contracts which are repetitive, regardless of Facilities Section for services and the estimated dollar value? repairs to Inspection and Scale facilities. Is a CHP 78 Contract Request used for one-time Remarks: None for evaluated period services exceeding \$4,999.99? ☐ Yes □ No ⊠ N/A from September 2007 through 2008. Is the Office of Primary Interest (OPI) tracking Remarks: numbering beginning with the requesting command Yes ☐ No ⊠ N/A three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? 4. Is the performance of contract services monitored Remarks: and documented? ☐ No □ N/A Are all copies of correspondence with the vendor Remarks: maintained? X Yes □ No □ N/A 6. Are letters for contracts documented and maintained Remarks: X Yes ☐ No □ N/A which outline any problems related to substandard or non-performance of the vendor? 7. Is the final product to be delivered described Remarks: □ N/A specifically and in as much detail as possible in the ⊠ Yes ΠNo CHP 78? 8. Are all required levels of approval/signature obtained, Remarks: ☐ Yes ΠNο ⊠ N/A including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy,

2 of 4

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

		11			
9.	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□ No	⊠ N/A	Remarks:
10	Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	☐ No	□ N/A	Remarks:
11	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks
	. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□No	□ N/A	Remarks:
13	Are contract expenditures monitored to ensure there are sufficient funds to pay for all services rendered as required by contract?	⊠ Yes	□No	□ N/A	Remarks: Notification and approval from Facilities Section.
14.	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	☐ No	□ N/A	Remarks:
15.	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□No	□ N/A	Remarks: Through Facilities Section
16.	Are all applicable form sections of the CHP 78 completed?	☐ Yes	□ No	⊠ N/A	Remarks:
17.	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□No	⊠ N/A	Remarks:
18.	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	☐ Yes	☐ No	⊠ N/A	Remarks:
19.	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	☐ Yes	□ No	⊠ N/A	Remarks: None made during the time frame evaluated.
20.	Are contract amendment request dollar amounts	□Yes	Пио	⊠ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

21. Is the length of the contract amendment request more than one year?	Yes	□No	⊠ N/A	Remarks:
Are amendments requested before the expiration of the original contract?	☐ Yes	□No	⊠ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□ No	⊠ N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint</u> <u>checks and driver license checks</u> conducted for all of the following types of agreements:	☐ Yes	□ No	⊠ N/A	Remarks:
 (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 				
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	☐ Yes	□ No	⊠ N/A	Remarks:
 (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair 				

4 of 4

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	Yes	□No	⊠ N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	☐ Yes	□No	⊠ N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	□ No	□ N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	☐ Yes	□No	⊠ N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	⊠ Yes	□No	□ N/A	Remarks: Facility Invoice Log
33. Is the notification to the contractor documented for the start date for services to begin?	☐ Yes	□No	⊠ N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	□No	⊠ N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□ No	⊠ N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□No	□ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	☐ No	⊠ N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Division: Conejo I.F. Coastal		Chapter: Three
Inspected by: M. Lamons, #	12339	Date: 10/22/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

W Straw Wilder	The Samuel Company of the Company of			
TYPE OF INSPECTION		Corrective Action Plan Included		
☐ Division Level ☐ Command Level		Appeal Included		
Executive Office Level		Attachments Included		
Follow-up Required:	Forward to:	Commander's Signature:	Date:	
☐ Yes	Due Date:			
Chapter Inspection:	以下,第一人的一个事实是一个事 。		是小教士本人作品	
			作。 第5章 数据第一5章	
Inspector's Comments Regar	ding Innovative Practice	es:		
Each procurement process requires similar documentation, procedures and approval for both purchases of commodities and obtaining services. Each procurement process has different exemptions and prohibited purchases. As such it would be beneficial to develop a Redi-Reference Check List containing guidelines and requirements for each process to help eliminate confusion and save time spent referring back to policy which is contained in different manuals and chapters as well as different laws and regulations.				
Command Suggestions for St	atewide Improvement:			
		8 e		
Inspector's Findings:				

The Command Inspections Program Manual was published on October 1, 2008. Inspection Checklists included questions regarding recently revised policy and procedures for procurements. Such as the use of the CHP 78S and CHP 78V which was included in the revision to HPM 11.2, Chapter 7, Purchases, dated October 2008. This created some discrepancies during the audit conducted for the 12 month period of September 2007 through September 2008. The Chapter Three Inspections indicated procurements at the facility were within policy and procedures at the time they were initiated.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:	
Conejo I.F. Coastal		Three	
Inspected by:		Date;	
M. Lamons. #12339		10/22/2008	

Page 2

Commander's	Response:

Inspector's Comments:

Regarding contracts, although no problems were identified concerning contractor's performance during the period the inspection was conducted it was noted prior problems had existed. Despite problems as well as complaints being reported and documented there was no action taken against the contractor therefore there were no incentives for the contractor to improve services. Performance evaluations should be conducted on a regular basis including a final evaluation at the end of the contract. These should be utilized when the same contractors bid for a new contract.

Required Action

Corrective Action Plan/Timeline

N/A

INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Commant:	Dayleton:	Number
SANTA CRU	Z COASTAL	720
Evaluated by:		Date:
SGT K.	WALLACE	12-31-08
Assisted by:		- Liate:
SGT S.	SEIBERT	12-31-08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or the in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up inspection, the "Follow-up Inspection" lock shall be marked and only deficient items need to be re-inspected.

TYPE OF	HENECTION		Lead Inap	ecar's Signac	ure:		
☐ Div	ision Level	☑ Command Level		91 / n	1.100	in se own	
□ O#	ice of Inspections	☐ Voluntary Self-Inspection	* Hy Wallace				
Fo	flow-up Required:	T_	Command	era Signature		3	Date.
	¶Yes ☐ No	Follow-Up Inspection	1. A	inne			12-31-08
For ap Manu Chapt	oplicable policies, refer to al (SAM), HPM 11.1, Chi er 2.	State Administrative apter 4, and HPM 11.2,		6		+:	
igen.	approving paperwork rela preparing collections?	ied to receiving and	⊠ ¥es	□Ne	□ M/A	Remarks:	
Does the command have Standard Operating Procedures (SOP) to provide necessary guidelines for overall management and accountability of receiving and preparing collections?		☐ Yes	a≱l 🔀	□ N/A	Remarks:		
Does the command have adequate separation of duties for collections received?		X Yes	□ Mao	□ N/A	Remarks		
4.	Does the command have adequate separation of duties for the cash receipt process?		X Yes	t∛o	□ N/A	Remarks:	
 Is access to the safe and/or vault appropriately restricted? 		☐ Yes	No	N/A	Remarks:		
ĕ .	8. Does a record exists which identifies who has access to the safe and/or vault and when changes in access occur?		□ Yes		⊠ M⁄A	Remarks:	
7. Was the look combination changed when an excess number of employees were aware of the combination, transferred out of the Area, or no longer requires access?		☐ Yes	□ Nio	⊠ N/A	लिस्सासर्ग्रहः		
뿧.	is the safe securely ancho	ned to the building?	Yes	□ No	⊠ N¦A	Remarks	
ŞI.	accordance with departmental policy?		⊠ Yes	□ No	□ N/A	Remarks	
10.	10. Is the weekly transmittal report(s) submitted to Fiscal Management Section (FMS) within five working days inflorment the weekly respect by the report?			□ Nø	□ N/A	Remarks;	

STATE OF CAUFORNIA HIGHWAY PATROL'

INSPECTION PROGRAM

☐ Yes	™ Nio	□ N/A	Remarks: 井4 ONLY
☐ Yes	□ No	N/A	Remarks NONE NECESSARY
X Yes		□ N/A	Remarks:
Yes	☐ No	□ N&A	Remarks
X Yes	☐ Mo	□ N/A	Remarks:
☐ Yes	□Ño	⊠ 'N!A	Remains: STATE CONTRACT
Yes	☐ No	ANA 🗵	Remarks:
X Yes	☐ No	□ N/A	Remarks:
₩ Yes	□ No	☐ NIA	Remarks:
Yes	□ No	⊠ NÆ	Remarks
⊠ Yes	□ No	□ N/A	Remarks.
∀es	□ Mo	□ N/A	Remarks:
☑ Yes	□ No	□ N/A	Remarks
⊠ Yes	□ No	□ N/A	Remarks:
X Yes	□ d¥1 □	□ N/A	Remarks:
	Yes	Yes No	Yes

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM

28. Were change funds used to cash checks, money orders or cashler/travelers checks?	☐ Yes	Ø Ne	□ N/A	Remarks
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, valilt, or money chest adequate to safeguard cash?	X Yes	☐ No	□ N/A	Remarks:
28. Are all petry cash purchases under \$50?	X Yes	t∛s	□ N/A	Remarks
29. Is petty cash used to punchase prohibited items?	☐ Ves	⊠ Műp	☐ M/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	Yes	⊠ Não	□ N/A	Remarks:
31. Is a petity cash custodian designated by the commander?	▼ Yes	□No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:	
Santa Cruz	Coastal	4	
Inspected by:		Date:	
Sat. Wallace, #13413		12/31/08	

P	a	σe	1
Г	а	26	- 1

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION

Corrective Action Plan Included

Appeal Included

Executive Office Level

Attachments Included

TYPE OF INSPECTION		☐ Corrective Action Plan Included		
☐ Division Level ☒ Command Level		Appeal Included		
Executive Office Level		│		
Follow-up Required: Forward to:		Commander's Signature:	Date:	
⊠ Yes □ No	Due Date: <u>/2-31-68</u>	P. Mannyung	12-31-08	
Chapter Inspection: Four, Fisc	cal Controls			
Inspector's Comments Regard	ding Innovative Practice	S:		
None				
Command Suggestions for St	atewide Improvement:			
Increased availability of Inspection Checklists				
Inspector's Findings:				
Area does not have SOP for n	nanagement and accou	ntability of receiving and preparing c	ollections.	
Area has not submitted the CHP 221, Malicious Damage Report with the weekly transmittal when necessary.				
Commander's Response:				
I have read and understand th	e inspection findings.			

None

Inspector's Comments:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2

Command: Santa Cruz	Division: Coastal	Chapter:	
Inspected by:			

Required Action 23.	
Corrective Action Plan/Timeline	
No later than February 1, 2009, area will establish SOP fand preparing collections.	or management and accountability of receiving
No later than February 1, 2009, support staff will receive CHP 221(s), Malicious Damage Report(s), are attached v	
Appeal Process: (Appeals shall be filled within five (5) business da	ys of the completed chapter inspection):
Commander's Basis for Appeal:	
Appeal Review/Decision: (This shall be the only level of appeal).	
*	
Lead Inspector's Signature:	Date:
Responding Commander's Signature (for appeal):	Date:

ANNEX A

INSPECTION CHECKLIST - FISCAL CONTROLS

DEPARTMENT OF CAUFORNIA HIGHWAY PATROL INSPECTION PROGRAM Chapter 4	Ho	mand.		icion:	
Fiscal Controls	30	isled by:	ove H.	zu.	Date: 2 - 10 - 0 9 Date:
INSTRUCTIONS: Answer individual items with "Yes" or "No" applicable legal statues, or deficiencies noted in the inspection discrepancies and/or deficiencies shall be documented on an Furrisemore, me memorandum shall include any follow-up and the "Follow-up Inspection" box shall be marked and only defici	Exception	ns Docum	nted on via nent and ad	the "Rema dressed to	rks" section. Additionally, such
TYPE OF HEMPEOTOR	_		ector's Signa		
☐ Division Level ☐ Office of Inspections ☐ Voluntary Self-Inspe	action .	A	3	>-	
Follow-up Required:	ecuon	Canana	ler's Signatur		
Yes No Follow-Up Inspec				MA	24E 02/17/20
For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11. Chapter 2.	2,				
 Is management actively Involved in reviewing an approving paperwork related to receiving and preparing collections? 	d	□ Ves	□ No	□ N/A	Remarks
 Does the command have Standard Operating Procedures (SOP) to provide necessary guidelin for overall management and accountability of receiving and preparing collections? 	e 5	₽Ýes	□ No	□ N/A	Remarks:
Does the command have adequate separation of	1				
duties for collections received? 4. Does the command have adequate separation of		WYes	□ No	□ N/A	Remarks:
duties for the cash receipt process?		₩ Yes	□ No	□ N/A	Remarks:
Is access to the safe and/or vault appropriately restricted?		Yes	□ No	TON/A	Remarks: SEE AST
 Does a record exists which identifies who has act to the safe and/or vault and when changes in accoccur? 	255 E	☐ Yes	□ No	[☐-N/A	Remarks:
 Was the lock combination changed when an exce number of employees were aware of the combination, transferred out of the Area, or no lor requires access? 	- 1	☐ Yes	□ No	□-N/A	Remarks:
8. Is the safe securely anchored to the building?		U Yes	□No	□ N/A	Remarks:
Are weekly transmittal reports prepared in accordance with departmental policy?		Lives .	□ No	D N/A	Remarks:
Is the weekly transmittal report(s) submitted to Fis	scal			N/A	
Management Section (FMS) within five working di following the week covered by the report?	ays [Yes	□ No	□ N/A	Remarks:

HPM 22.1

ANNEX A EXCEPTIONS DOCUMENT (continued)

DEPARTMENT OF CALIFORNIA HIGHWAY PATROL	Command	Division:	Chapter
COMMAND INSPECTION PROGRAM	inspected by		Date.
EXCEPTIONS DOCUMENT , Page 2	suspection of		
Commander's Response:			
Inspector's Comments.			
Required Action			
Corrective Action Plan/Timeline			
		-100	

HPM 22.1

ANNEX A EXCEPTIONS DOCUMENT (continued)

STATE OF CALLFORNIA DEPARTMENT OF CALLFORNIA HIGHWAY PATROL	Command Division	Chapter
COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT	inspected by	Dale
Page 3		
	44.	
Appeal Process: (Appeals shall be filed within five (5) to	usiness days of the completed cha	pter inspection).
Commander's Basis for Appeal:		The Superior Control
5.		
Appeal Review/Decision. (This shall be the only level of	of anneall	
The distriction of the contract of the contrac		
ead Inspector's Signature	Dale Dale	
esponding Commander's Signature (for appeal):	Dale	
	L/aic	
coportoning bominionacio o granovo (ran paperor).		
copering seminated of granter paragraphs		

INSPECTION PROGRAM

Command: Division: Coastal		Number: 726-08-004
Evaluated by: M. O. Delanev		Date: 01/06/09
Assisted by:		Date:

INSTRUCTIONS: Answer individual Items with "Yes" or "No" answapplicable legal statues, or deficiencies noted in the inspections shall be documented on an Exce Furthermore, the memorandum shall include any follow-up and/or the "Follow-up Inspection" box shall be marked and only deficient it	all be comm ptions Docu corrective ac	ented on vit ment and a ction(s) takes	a the "Rema ddressed to n. If this for	the next level of command.
C I DOLLAR DE CAROCITATION DE	Lead Ins	pector's Sign	ature:	The state of the s
TYPE OF INSPECTION				
☐ Division Level ☐ Command Level			(6.00)	
☐ Office of Inspections ☐ Voluntary Self-Inspection	//	70/	Lane	4
Follow-up Required: Yes No Follow-Up Inspection		Commander's Signature: Date: 01/06/09		
For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2.				
 Is management actively involved in reviewing and approving paperwork related to receiving and preparing collections? 	⊠ Yes	□No	⊠ N/A	Remarks: Facility does not sell reports or routinely make collections. Only collections made are witness fee deposits for civil suppenss.
 Does the command have Standard Operating Procedures (SOP) to provide necessary guidelines for overall management and accountability of receiving and preparing collections? 	☐ Yes	□ No	⊠ N/A	Remarks: Facility does not sell reports or routinely make collections. No SOP required.
3. Does the command have adequate separation of duties for collections received?	⊠ Yes	□ No	□ N/A	Remarks:
4. Does the command have adequate separation of duties for the cash receipt process?	⊠Yes	□ No_	□ N/A	Remarks:
Is access to the safe and/or vault appropriately restricted?	☐ Yes	□ No	⊠ N/A	Remarks: Facility does not have a safe/vault. A simple lockbox is used.
6. Does a record exists which identifies who has access to the safe and/or vault and when changes in access occur?	Yes	□ No	⊠ N/A	Remarks: Facility does not have a safe/vault.
7. Was the lock combination changed when an excess number of employees were aware of the combination, transferred out of the Area, or no longer requires access?	☐ Yes	□ No	⊠ N/A	Remarks: Facility does not have a safe/vault.
8. Is the safe securely anchored to the building?	□Yes	□ No	⊠ N/A	Remarks; Facility does not have a safe/vault.
Are weekly transmittal reports prepared in accordance with departmental policy?	⊠ Yes	□ No	□ N/A	Remarks:
10. Is the weekly transmittal report(s) submitted to Fiscal Management Section (FMS) within five working days following the week covered by the report?	⊠ Yes	□ No	□ N/A	Remarks:

INSPECTION PROGRAM

	70			
11. Does the command submit the following forms with the weekly transmittal when applicable?	. ⊠ Ye	es 🔲 N	o N/	A Remarks:
(1) CHP 265, Sale of Discarded Tires/Junk Batterles/Used Rotors. (2) CHP 36, Evidence/Property Receipt/Report				
(Unclaimed Property). (3) STD 634, Absence and Additional Time Worked	±	177.57	12	# 8 E
Report, for jury duty. (4) CHP 221, Malicious Damage Report. (5) CHP 464, Traffic Control Cost Estimate –				8 2 (8)
Advance Deposit. (6) Civil subpoena.			1.	
12. Is a memorandum for cash shortages prepared if necessary?	☐ Yes	s 🔲 No	⊠ N/A	A Remarks:
13. Does the command ensure the information written or the counter receipt is complete and legible?	n' │ │	s No	□ N/A	Remarks: None reported
14. Was a counter receipt issued for each witness fee deposit received?	⊠ Yes	s 🔲 No	□ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	☐ Yes	i □ No	⊠ N/A	Remarks: No such détails
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	☐ Yes	□ No	⊠ N/A	Remarks: No such sales
17. Is sales tax added to items that are not for resale?	☐ Yes	□ No	⊠ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?	⊠ Yes	□ No	□ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	☐ Yes	□ No	⊠ N/A	Remarks: No transfers on record
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	☐ Yes	□ No	⊠ N/A	Remarks: No non-itemized receipts
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	□ No	□ N/A	Remarks:
22. Is the CHP 264 properly authorized?	⊠ Yes	□ No	□ N/A	Remarks;
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□ No	□ N/A	Remarks: Petty cash fund only, Facility does not maintain a change fund.
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	□ No	□ N/A	Remarks: Petty cash fund only, Facility does not maintain a change fund.
Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	☐ Yes	□No	⊠ N/A	Remarks: no overages/shortages on record.

INSPECTION PROGRAM

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26	Were change funds used to cash checks, money orders or cashier/travelers checks?	Yes	⊠ No	□ N/A	Remarks:	-
27	7. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	☐ Yes	□ No	⊠ N/A	Remarks: Petty cash fund of \$200 only. Facility does not maintain a change fund.	-
28	. Are all petty cash purchases under \$50?	⊠ Yes	□ No	□ N/A	Remarks:	1
29	. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:]
30	Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks;	1
31.	Is a petty cash custodian designated by the commander?	⊠ Yes	□ No	□ N/A	Remarks:	1

4086837263 08/19/2009 08:07

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

Command:	Division.	Chapter	
Gilroy I. F.	Coastal	4	
Inspected by:		Date:	
M. O. Delaney		08/19/09	

EXCEPTIONS DOCUMENT Page 1 of 2 INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION Total hours expended on the Corrective Action Plan Included inspection: □ Division Level ☒ Command Level ☐ Attachments Included Executive Office Level 2 Forward to: Follow-up Required: Due Date: Yes ⋈ No Chapter Inspection: Inspector's Comments Regarding Innovative Practices: None Command Suggestions for Statewide Improvement: None Inspector's Findings: Procedures were in compliance with policy. Commander's Response:

Concur or

Do Not Concur (Do Not Concur shall document basis for response)

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: Division: Chapter:
Gilroy I. F. Coastal 4
Inspected by: Date:
M. O. Delaney 08/19/09

Page 2 of 2

Required Action		
Corrective Action DI (C)		اسبط
Corrective Action Plan/Timel	ine	•

None

Employee would like to discuss this report with	COMMANDER'S SIGNATURE	DATE
the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	mo Desame	8-19-05
	INSPECTOR'S SIGNATURE	DATE
	M.O. DEZANOY	8-19-09
Reviewer discussed this report with employee	REVIEWER'S SIGNATURE	DATE
Concur Do not concur		

Page

1 of 3

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command: Monterey	Division; Number: 730				
Evaluated by: Lt. E. L. Jenn	ings, #12235	Date: 12/31/2008			
Assisted by: Office Techni	cian S. Ornelas	Date: 12/31/2008			

INSTRUCTIONS: Answer individual Items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up inspection, the "Follow-up inspection" box shall be marked and only deficient items need to be re-inspected.

	1.07 -1.17				
TYPE OF INSPECTION	Lead Ins	pector's Sign	ature:		
☐ Division Level ☐ Command Level		1-00		1 ,_	
☐ Office of Inspections ☐ Voluntary Self-Inspection	Eric L	senning	is. #122	35	
Follow-up Required: Yes No Follow-Up Inspection	Comman	der's Signati	m_L	For	Date: 12/31/2008
For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2.		A			
 Is management actively involved in reviewing and approving paperwork related to receiving and preparing collections? 	⊠ Yes	□No	□ N/A	Remarks:	
 Does the command have Standard Operating Procedures (SOP) to provide necessary guidelines for overall management and accountability of receiving and preparing collections? 	⊠ Yes	□No	□ N/A	Remarks:	
Does the command have adequate separation of duties for collections received?	⊠ Yes	□No	□ N/A	Remarks:	V =====
4. Does the command have adequate separation of duties for the cash receipt process?	⊠ Yes	□No	□ N/A	Remarks:	
Is access to the safe and/or vault appropriately restricted?	⊠ Yes	☐ No	□ N/A	Remarks:	
6. Does a record exists which identifies who has access to the safe and/or vault and when changes in access occur?	⊠ Yes	□No	□ N/A	Remarks:	
7. Was the lock combination changed when an excess number of employees were aware of the combination, transferred out of the Area, or no longer requires access?	⊠ Yes	☐ No	□ N/A	Remarks:	
8. Is the safe securely anchored to the building?	⊠ Yes	☐ No	□ N/A	Remarks:	
Are weekly transmittal reports prepared in accordance with departmental policy?	⊠Yes	□No	□ N/A	Remarks:	
Is the weekly transmittal report(s) submitted to Fiscal Management Section (FMS) within five working days following the week covered by the report?	⊠ Yes	□ No	□ N/A	Remarks:	

Page 3 of 3

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	T N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	Yes	□No	⊠ N/A	Remarks: Funds have not exceeded their allowable amounts.
28. Are all petty cash purchases under \$50?	 		 	
20 1 10 10		☐ No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?				_
30 Did the commend signature 177	☐ Yes	_⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the	100	23110	INA	
commander?	⊠ Yes	□No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter.	
Monterey Area	Coastal Div.	4	
Inspected by:	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	Date:	
Sam Dickson, L	12/31/08		

Page 1 of 2

			·	
INSTRUCTIONS: This document shall number of the inspection in the Chapte shall be routed to and its due date. Thi improvement, identified deficiencies, co	r Inspect s docum	ion number. Under "Forwa ent shall be utilized to docu	rd to:" enter the ne iment innovative pr	fill in the blanks as indicated. Enter the chapte ext level of command where the document ractices, suggestions for statewide e used if additional space is required.
TYPE OF INSPECTION Division Level Command I Executive Office Level	_evel	Total hours expended inspection:	on the	☐ Corrective Action Plan Included ☐ Attachments Included
Follow-up Required:		rd to: Coastal Div.		
Chapter Inspection: 4 All Inspector's Comments Regard None		novative Practices:		
Command Suggestions for Sta	atewid	e Improvement:		
None				
Inspector's Findings:		101000000000000000000000000000000000000	244.00()	
None				
Commander's Response: 🛭 C	oncur	or 🗌 Do Not Concu	r (Do Not Concu	r shall document basis for response)
SEE ATTACHED CHE	ck L15	For ch	d inspact	?>∼.

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 2 of 2

Command: Monterey Area	Division: Coastal Div.	Chapter:
Inspected by:		Date:
Sam Dickson, LT.		12/31/08

Required Action	The second of the second secon
Corrective Action Plan/Timeline	AND THE PROPERTY OF THE PROPER

None

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Employee would like to discuss this report with	COMMANDER'S SIGNATURE	DATE
the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	1. Per	8-18.09
	INSPECTOR'S SIGNATURE	DATE
	W. Parson	8-18.09
Reviewer discussed this report with	REVIEWER'S SIGNATURE	DATE
employee		Æ
Concur Do not concur	ľ.	1

INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command: King City	Division: Goastal	Number: 735-08-005		
Evaluated by: M. Mann		Date: 11/05/2008		
Assisted by:		Date:		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

F					- WWV		
TYPE OF	INSPECTION		Lead Insp	ector's Signal	ure:		
Di	vision Level	Command Level	1	a Laway			
☐ Of	fice of Inspections [Oluntary Self-Inspection	المعالم	W. A.C		and plan in the of a first to the state of t	i a company A Society (Association
F	ollow-up Required:]Yes ⊠ No	Follow-Up Inspection	Command	ler's Signature	9.	Secretary to the same of the secretary o	Date:
For a Manu Chapt	pplicable policies, refer to al (SAM), HPM 11.1, Cha ter 2.	pter 4, and HPM 11.2,			· ·		
1.	is management actively in approving paperwork relat preparing collections?		⊠ Yes	∏ No	□ N/A	Remarks: Co alternate are i	mmander or his nvolved.
2.		de necessary guidelines d accountability of	⊠ Yes	□No	□ N/A	Remarks: Job	descriptions.
3.	Does the command have a duties for collections received	idequate separation of	⊠ Yes	☐ No	□ N/A		ool bus officer remits eks to clerical staff.
4.	Does the command have a duties for the cash receipt		☐ Yes	□ No	⊠ N/A	Remarks: Cle	rical staff process cash
5.	is access to the safe and/o restricted?		⊠ Yes	□ No	□ N/A	Remarks: Evi	dence Officer (EO) and
6.	Does a record exists which to the safe and/or vault and occur?	dentifies who has access when changes in access	⊠ Yes	□ No	□ N/A	Remarks: Off room, In/Out	ice safe is in evidence og is used.
7.	Was the lock combination of number of employees were combination, transferred of requires access?	aware of the	☐ Yes	□ No	⊠ N/A	recently put or to be ordered.	s not occurred, Safe hine for use. Key had Only EO and ave combination.
8.	Is the safe securely anchor	ed to the building?	Yes	⊠ No	□ N/A	Remarks:	
9,	Are weekly transmittal repo accordance with departmen	ts prepared in tal policy?	⊠ Yes	□ No	□ N/A	Remarks:	1 11
10.	Is the weekly transmittal re- Management Section (FMS	ort(s) submitted to Fiscal) within five working days	⊠ Yes	□ No	□ N/A	Remarks:	

INSPECTION PROGRAM

	11. Does the command submit the following forms with the weekly transmittal when applicable? (1) CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors. (2) CHP 36, Evidence/Property Receipt/Report (Unclaimed Property). (3) STD 634, Absence and Additional Time Worked Report, for jury duty. (4) CHP 221, Malicious Damage Report. (5) CHP 464, Traffic Control Cost Estimate — Advance Deposit. (6) Civil subpoena.	⊠ Yes	□ No	□ N/A	Remarks: If applicable they would be attached. Typical attachments to Area transmittals are: Money order Counter receipt
	12. Is a memorandum for cash shortages prepared if necessary?	Yes	□ No	⊠ N/A	Remarks: No cash shortages have occurred.
	13. Does the command ensure the information written on the counter receipt is complete and legible?	⊠ Yes	□No	□ N/A	Remarks:
ĺ	14. Was a counter receipt issued for each witness fee deposit received?	⊠ Yes	☐ No	□ N/A	Remarks: Receipt number is entered on civil subpoena log.
ľ	15. Was a counter receipt issued for each movie, wide-load, and special event detall(s)?	⊠ Yes	☐ No	□ N/A	Remarks: R-number is entered on receipt.
-	16. Was each counter receipt issued for each sale, including the sale of discarded thes, junk batteries, used rotors, and other cash received?	☐ Yes	∏ No	⊠ N/A	Remarks: Waste tire contract used for discarded tires. Rotors are discarded.
	17. Is sales tax added to items hat are not for resale?	Yes	□No	⊠ N/A	Remarks: Has not occurred.
	18. Are all counter receipts pre-humbered and issued in numerical sequence?	⊠ Yes	□No	□ N/A	Remarks:
	19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	Yes	□No	⊠ N/A	Remarks: Has not occurred.
	is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	☐ Yes	⊠ No	□ N/A	Remarks: Not used at Area level. No disbursements made.
	21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	□ No	□ N/A	Remarks: Reimbursement requests are submitted on an as-needed basis.
	22. Is the CHP 264 properly au horized?	⊠ Yes	□ No	□ N/A	Remarks:
	23. Does the total amount of cash, receipts on hand, and receipts in transit equal the lotal of petty cash and change funds?	⊠ Yes	☐ No	□ N/A	Remarks:
	24. Is there documentation to support periodic reviews of petty cash and change funcs performed by the commander or designated person?	⊠ Yes	□No	□ N/A	Remarks: Review of petty cash procedures and change fund are completed guarterly.
	25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	☐ Yes	□No	⊠ N/A	Remarks: Has not occurred.

INSPECTION PROGRAM

	26. Were change funds used to cash checks, money orders or cashier/travelers checks?	Yes	⊠ No	□ N/A	Remarks:
	27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	∑ Yes	□No	□ N/A	Remarks: Petty cash and change fund are kept in a locked box, Inside a locked cabinet. Access is restricted.
	28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
-	29. Is petty cash used to purchase prohibited items?	Yes	⊠ No	□ N/A	Remarks:
	30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
	31. Is a petty cash custodian designated by the commander?	⊠ Yes	☐ No	□ N/A	Remarks: Office supervisor, Dolores Morales, and OAll, Mellssa Finch.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMIMAND INSPECTION PROGRAM

EXAMPLE OF CALIFORNIA HIGHWAY PATROL

King City
Inspected by:
M. Mann

EXCEPTIONS DOCUMENT

Chapter: Chapter 4

11/05/2008

number of the inspection in the Chapte	er Inspection number. Under "Fo	oxes as necessary, or fill in the blanks as indic orward to:" enter the next level of command w document innovative practices, suggestions to be used to appeal findings. A CHP 51 Memor	or statewide
TYPE OF INSPECTION		Corrective Action Plan Included	
☐ Division Level ☒ Command L	.evel	☐ Appeal Included	
☐ Executive Office Level		Attachments Included	
Follow-up Required:	Forward to:	Commander's Signature:	Date:
☐ Yes No	Due Date:	Middle	11.05.05
Chaptenlinspection			
Inspector's Comments Regar	ding Innovative Practice	S:	
None			
Command Suggestions for St	atewide Improvement:		
None.			
Inspector's Findings:	OAANGE AITV		

No problems with the command's fiscal controls were identified. Audits of collections, petty cash, and X-number procedures are carried out according to the schedule established in HPG 22.1, Commander's

CHP 680A (Rev. 09-06) QPI 010

Desk Reference.

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM Division: Coastal Chapter: Chapter 4 Command: EXCEPTIONS DOCUMENT King City Date: Inspected by: 11/05/2008 M. Mann Page 2 Commander's Response: Maintaining fiscal responsibility is a priority to this command. Inspector's Comments: Maintaining fiscal responsibility is a priority to this command.

Regulied Action Corrective Action Plan/Timeline

None required.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

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Command: King City	Division; Coastal	Chapter: Chapter 4
Inspected by: M. Mann		Date: 11/05/2008

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	pelfiled.Within Tiva (5).bits iness days on the completed chapter insception).	
Commander's Basis for Appea		
Not applicable.		
-5		
Appeal Review/Decision: (This	shall be the only level of appeal).	
Not applicable.		
Lead Inspector's Signature.	Date: 11-85-68	
Responding Commander's Signature (for appear	al): Date:	

INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command: Templeton	Division: Coastal	Number:	
Evaluated by:	guilar, #11915	Date: 11/20/08	
Assisted by: N/A	30.00	Date:	

INSTRUCTIONS: Answer individual Items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead-Inspector's Signature: TYPE OF INSPECTION Command Level ☐ Division Level Office of Inspections □ Voluntary Self-Inspection Date: Commander's Signature: Follow-up Required: Follow-Up Inspection ☐ Yes ⊠ No 11/20/08 For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2. 1. Is management actively involved in reviewing and Remarks: □ N/A approving paperwork related to receiving and X Yes ☐ No preparing collections? Does the command have Standard Operating Remarks: ☐ Yes N/A Procedures (SOP) to provide necessary guidelines Guidelines set forth through for overall management and accountability of departmental policy are followed. receiving and preparing collections? 3. Does the command have adequate separation of Remarks: □ N/A X Yes ☐ No duties for collections received? 4. Does the command have adequate separation of Remarks: □ No □ N/A X Yes duties for the cash receipt process? 5. Is access to the safe and/or vault appropriately Remarks: \square N/A restricted? X Yes ☐ No Does a record exists which identifies who has access Remarks: to the safe and/or vault and when changes in access X Yes No □ N/A occur? Was the lock combination changed when an excess Remarks: Mo No ⊠ N/A ☐ Yes number of employees were aware of the Secure lock box is used. combination, transferred out of the Area, or no longer requires access? Is the safe securely anchored to the building? Remarks: Secured cabinet. ☐ Yes □ No ⊠ N/A 9. Are weekly transmittal reports prepared in Remarks: ☐ No □ N/A accordance with departmental policy? 10. Is the weekly transmittal report(s) submitted to Fiscal Remarks: ✓ Yes □ No □ N/A Management Section (FMS) within five working days following the week covered by the report?

INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	□ No	□ N/A	Remarkė;
28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	□ No	□ N/A	Remarks:

STATE OF CALIFORNIA Chapter: DEPARTMENT OF CALIFORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM **EXCEPTIONS DOCUMENT** Page 1 of 2 INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required. Corrective Action Plan Included TYPE OF INSPECTION Total hours expended on the inspection: ☐ Division Level ☒ Command Level Attachments Included 4 hrs Forward to: Coastal Follow-up Required: Due Date: X No Yes Character societies in the second Inspector's Comments Regarding Innovative Practices: Command Suggestions for Statewide Improvement: Inspector's Findings: APPRIPATE CONTROLS IN PLICE. Commander's Response: Z Concur or Do Not Concur (Do Not Concur shall document basis for response)

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 2 of 2

Command:	Division:	Chapter: #
Inspected by:	· amila	Date:
	# 11915	2.

	The second secon
Required Action Date of the State of Sauce	
Corrective Action Plan/Timeline	

)
Employee would like to discuss this report with	COMMANDER'S SIGNATURE	1	DATE
the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)			8/18/09
(See HPIVI 9.1, Chapter 8 for appear procedures.)	INSPECTOR'S SIGNATURE		DATE
		11/195	9/18/09
Reviewer discussed this report with employee	REVIEWER'S SIGNATURE		DATE
Concur Do not concur			

Page

STATE OF CAUFORNIA DEPARTMENT OF CONFORNIA HIGHWAY PATROL INSPECTION PROGRAM Chapter 4 Fiscal Controls

Command: SLO-745	Coaștal	Number:
Evaluated by: Capt. W.E	. Vail	Date: 11/19/08
Assisted by: OSSI Tine	Weller	11/19/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or it? In the blanks as Indicated. Any discrepancies with poboy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptiona Document and addressed to the next level of command. discrepancies and/or deficiencies shall be documented on an Exceptiona Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up inspection, box shall be marked and only deficient items need to be re-inspected.

	LINGURGHON		Lead Insy	neccore Signa	ture:	
1	vision Level	Command Level	Ì	-		
	fice of Inspections	A Voluntary Self-Inspection		//	- /	1 Date:
[ollow-up Required: ☑ Yes ☐ No	Follow-Up Inspection	Constrain	der's Signatür	2	11/21/08
Manu	policable policies, refer to rel (SAM), HPM 11.1, Cha ter 2	prer 4, and ormid 1.2,			,	
1.	is management polively in approving papervork relati	ed borreceiving and	⊠ Yes	☐ Mp	ANG	Remarks:
2.		de necessary guidennes id accountability of	☑ Yes	[] 14o	□ N/A	Remarks:
3.	Does the command have a	red? red?	X Yes	□No	□ N/A	Remarks:
4.		dequate separation of	X Yes	□ No	□N/A	Remarks:
δ.	is access to the safe and/o	r vaušt appropriately	Yes	□ No	AJN X	Remaixs:
6.	1 2 1 1.1-1.	ideniines who has nocess I when changes in socess	☐ Yes	□ No	X MA	Remarks
7.	Was the lock combination of number of employees were combination, transferred or requires access?	s aware of the If of the Area, or no longer	☐ Yes	□ Mo	X IVIA.	Remarks:
	is the safe securely anchor		☐ Yes	□ Mo	RIMA	Remarks
	accordance with departmen	ital policy?	∐ Y€s	X No	□ N/A	Action
YD.	is the weekly transmittal rep Managensent Section (FMS following the week covered	nord(s) submitted to Fiscal } ফটোনা five working days	X Yes	□Nb	□ N/A	fremarks:

STATE OF CAUFORNIA.
DEPARTMENT OF CAUFORNIA. HIGHWAY PATROIL
INSPECTION PROGRAM
Chapter 4
Flacal Controls

	 Objective command automit the following forms with the weekly fransmittal when applicable? CHP 265, Sale of Discarded Thres/Junk Batteries/Used Rotors. CHP 36, Evidence/Property Receipt/Report (Unclaimed Property). STD 634, Absence and Additional Time Worked Report, for jury duty. OHP 221, Malkicious Damage Report. CHP 464, Traffic Control Cost Estimate - Advance Deposit. 	X Yes	No S	□ N/A	Remarks:
f	(8) Civil subpotents. 12. Is a memorandum for cash shortages prepared if necessary?	X Yes	□No	□ N/A	Flecharks:
1	13. Does the command ensure the information written on the counter receipt is complete and legible?	X Yes	□ No	☐ NIA	रिक्षावर्षकः
T	14. Was a counterreceipt issued for each witness fee deposit received?	X Yeş		□ N/A	Regianks:
-	15. Was a counter receipt issued for each movie, vide-load, and special event detail(\$)?	X Yes	□ No	□ N/A	Remarks
	98. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	X Yres	□ No	□NIA	Remarks:
	17. Is sales tax added to items that are not for resale?	Хүе≝	□No	□NØA	Remarks
	Are all counter receipts pre-numbered and issued in numerical sequence?	Yes	Z 190	□NIA	See Action Attached
	 Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A. Credit Memo - Non- Equipment? 	Yes.	□N¤	X N/A	Remarks:
	20. % the STO 439, Disburgement Voucher, properly authorized and completed to support expenditure?	X Yes	☐ Nio	□N/A	Remilika
	21. Are the CHP 204, Petty Cash Reptenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each issoal year?	☐ Yes	⊠ No	□ N/A	Remarka Action See Attached
	23. is the CHP 284 properly authorized?	X Yes	□No	□ M/A	Remarks:
	23. Does the total envoyed of desh, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes		□ N/A	स्थातकः:
	24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	X Yes	□ No	□NIA	Remarks:
	25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	☐ Yes	□ No	™ N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
JNSPECTION PROGRAM
Chapter 4
Fiscal Controls

28. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	No.	□ N/A	Remarks:
27. Are change funds over \$100 and pelty cash funds over \$200 kept in a safa, vault, or money chest adequate to safepuard oash?	X Yes	□ No	□ N/A	Remaiks:
28. Are all petty assh purchases under \$50?	K Yes	□ No	□ N/A	Remarks;
29. Is petty cash used to purchase prohibited items?	☐ Yes	X N _o	□ N/A	Remarks.
30. Did the command circumvent the dollar limitation by splitting the outphase?	☐ Yes	[X] 140	□N/A	Romerks:
31, is a pelity cash custodian designated by the commander?	☐ Yes	Ob4 X	□ N/A	Remarks:

INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command: Santa Maria	Division: COASTAL	Number: 750 · 08 · 003
Evaluated by: Sgt. M. Clare, 12426		Date: 10/31/2008
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

		Lead Inspe	ctor's Signatu	re:	
TYPE OF INSPECTION	_				
Division Level	Command Level	-3	. Clo	ne	
Office of Inspections	☑ Voluntary Self-Inspection				
Follow-up Required: Yes No	☐ Follow-Up Inspection	Commande	er's Signature:	24-	Date: //-5-08
For applicable policies, refer to Manual (SAM), HPM 11.1, Cha Chapter 2.	State Administrative pter 4, and HPM 11.2,				
Is management actively in approving paperwork relate preparing collections?	volved in reviewing and ed to receiving and	⊠ Yes	□No	□ N/A	Remarks: Commander or designee reviews all transmittals.
Does the command have S Procedures (SOP) to provi for overall management ar receiving and preparing co	de necessary guidelines and accountability of	⊠ Yes	□No	□ N/A	Remarks: OSS-I job description and HPM 11.1 Chapter 4, and HPM 11.2 Chapter 2.
Does the command have a duties for collections received.	adequate separation of	⊠ Yes	□No	□ N/A	Remarks: With only two clerical personnel, both must be involved in sales, collection of funds, etc. However, the commander audits all transmittals weekly.
Does the command have a duties for the cash receipt		⊠ Yes	□No	□ N/A	Remarks: See above.
5. Is access to the safe and/c restricted?	or vault appropriately	⊠ Yes	□ No	□ N/A	Remarks: There is no safe in use, just a money chest. Only the OSS-I and the OA have keys to the money chest; it is kept in a locking file cabinet. The commander, sergeants, OSS-I and OA have keys to the cabinet.
 Does a record exists which to the safe and/or vault and occur? 	identifies who has access d when changes in access	⊠ Yes	□No	□ N/A	Remarks:
 Was the lock combination number of employees were combination, transferred of requires access? 	e aware of the ut of the Area, or no longer	☐ Yes	□No	⊠ N/A	Remarks:
8. Is the safe securely anchor	red to the building?	☐ Yes	□No	⊠ N/A	Remarks:
Are weekly transmittal repo accordance with departme		⊠ Yes	□No	□ N/A	Remarks:

INSPECTION PROGRAM

10.	Is the weekly transmittal report(s) submitted to Fiscal Management Section (FMS) within five working days following the week covered by the report?	⊠ Yes	☐ No	□ N/A	Remarks: Every Friday.
11.	Does the command submit the following forms with the weekly transmittal when applicable? (1) CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors.	⊠ Yes	□No	□ N/A	Remarks:
	 (2) CHP 36, Evidence/Property Receipt/Report (Unclaimed Property). (3) STD 634, Absence and Additional Time Worked Report, for jury duty. (4) CHP 221, Malicious Damage Report. (5) CHP 464, Traffic Control Cost Estimate – Advance Deposit. 				
10	(6) Civil subpoena. Is a memorandum for cash shortages prepared if				
	necessary?	☐ Yes	☐ No	⊠ N/A	Remarks: So far, this hasn't occurred.
13.	Does the command ensure the information written on the counter receipt is complete and legible?	⊠ Yes	□No	□ N/A	Remarks:
14.	Was a counter receipt issued for each witness fee deposit received?	⊠ Yes	□No	□ N/A	Remarks:
15.	Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	⊠ Yes	□No	□ N/A	Remarks:
16.	Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	⊠Yes	□No	□ N/A	Remarks:
17.	Is sales tax added to items that are not for resale?	⊠ Yes	□No	□ N/A	Remarks:
18.	Are all counter receipts pre-numbered and issued in numerical sequence?	⊠ Yes	□No	□ N/A	Remarks:
19.	Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	Yes	□No	⊠ N/A	Remarks:
20.	Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	⊠ Yes	□No	□ N/A	Remarks:
21.	Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	□No	□ N/A	Remarks:
22.	Is the CHP 264 properly authorized?	⊠ Yes	□No	□ N/A	Remarks:
23.	Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□No	□ N/A	Remarks:
24.	Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	□No	□ N/A	Remarks:
25.	Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	☐ Yes	□No	⊠ N/A	Remarks:

INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	☐ No	□ N/A	Remarks:
28. Are all petty cash purchases under \$50?		į No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	□No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM **EXCEPTIONS DOCUMENT**

Command: Santa Maria Area	Division: Coastal	Chapter:
Inspected by: Sgt. M. Clare		Date: 10/31/2008

	···			
number of the inspection in the Chapte shall be routed to and its due date. Th	r Inspection number. Under "Fo is document shall be utilized to o	oxes as necessary, or fill in the blanks as ind rward to:" enter the next level of command valocument innovative practices, suggestions be used to appeal findings. A CHP 51 Memore	where the document for statewide	
TYPE OF INSPECTION Division Level Command L Executive Office Level	_evel	☐ Corrective Action Plan Included ☐ Appeal Included ☐ Attachments Included		
Follow-up Required: ☐ Yes ☑ No	Forward to: Due Date:	Commander's Signature:	Date:	

Chapter Inspection: """

Inspector's Comments Regarding Innovative Practices:

N/A

Command Suggestions for Statewide Improvement:

N/A

Inspector's Findings:

Area follows policy related to fiscal controls; however, the requirement for separation of duties is not practical in this situation. There are two clerical personnel at Area, both of whom sell items and collect cash from the public. Since the Office Supervisor (OSS-I) and the Office Assistant (OA) are each other's backup, they both must perform these duties when the other is not available. While the OA usually submits the transmittals to the commander, there are times when the OSS-I must complete this task due to the unavailability of the OA. Because of this unique situation, the commander audits the transmittal every week.

Although there is no safe, funds are kept in a locked money chest, which in turn is locked in a file cabinet. The Area rarely accumulates large amounts of cash/checks during the week (very rarely exceeding \$1,000). Large sums of cash are immediately converted to cashiers check.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Division: Coastal	Chapter:
	Date: 10/31/2008

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Required Action Plan/Timeline

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Command: Santa Maria Area	Division: Coastal	Chapter:	
Inspected by: Sgt. M. Clare		Date: 10/31/2008	

Page 3

Appeal Process: (Appeals shall be filed within five (5) business days of	the completed chapter inspection).
Commander's Basis for Appeal:	
[
Appeal Review/Decision: (This shall be the only level of appeal).	
Lead Inspector's Signature:	Date: , /
M. Can	10/3/08
Responding Commander's Signature (for appeal):	Date:

Memorandum

Date:

October 28, 2008

To:

Santa Barbara Area

From:

DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

Santa Barbara Area

File No.:

760.13154

Subject:

CHAPTER 4 INSPECTION. FISCAL CONTROLS.

On October 28, 2008, Lieutenant Dane Lobb, #13154, conducted a Fiscal Controls inspection. This inspection is divided into five sections.

Section a, Separation of Duties.

Area is in compliance with State Administrative Manual (SAM) sections 8080 and 20050.

Section b. Onsite Safeguarding Cash and Other Valuables.

- 1. Area is in compliance with State Administrative Manual (SAM) section 8024.
- 2. Area is not in compliance with SAM section 8025 because a lock box is used in place of a safe. The lock box is kept in a locked file cabinet.

Section c, Transmittal of Collections and Conversion of Money Orders.

- 1. A review of all transmittals CHP 230's between August 29, 2008, and October 24, 2008, indicated weekly transmittals were sent as required.
- 2. The completion and tracking of money orders was performed in compliance with Departmental policy.
- 3. The additional of appropriate forms were attached when applicable.

Section d. Counter Receipts.

Counter receipts were maintained, tracked, and completed in compliance with Departmental policy outlined in HPM 11.1, Chapter 4.

Section e, Petty Cash and Change Funds

- 1. Area is in compliance with State Administrative Manual (SAM) section 8024.
- 2. No CHP 439 had been completed in 2008.
- 3. An audit of the change fund, and petty cash fund was performed on 10/28/2008. All monies and receipts were accounted for with no shortages noted.
- 4. No shortages were noted in 2008.
- 5. Both the change fund and petty cash fund are stored in a locked, metal cash box.

Santa Barbara Area Page 2 October 28, 2008

Fiscal controls required by SAM and Departmental policy are adhered to and followed by Santa Barbara Area personnel. No problems or concerns beyond those listed in the exceptions document were noted during the inspection.

D. F. Lobb Lieutenant

Attachments

COMMAND INSPECTION PROGRAM

EYC	FPT	IONS	DOC:		IME	П
$\Gamma \wedge \cup$		ICTIVE		JU	/IVIL	141

Chapter:
Date: 10/28/08

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION Corrective Action Plan Included ☐ Division Level ☐ Command Level Appeal Included ☐ Executive Office Level Attachments Included Commander's Signature: Date: Forward to: Follow-up Required: ☐ Yes ☐ No Due Date: Chaptet Inspection: Inspector's Comments Regarding Innovative Practices: 1.) A petty cash log is maintained. This log is similar to a check book register with a running total of each use of petty cash. The log allowed the inspector to obtain a clear overview of purchases made during the last quarter.

Command	Suggestions	for Statewide	Improvement:

1.) None.

Inspector's Findings:

- 1.) Inspection Checklist, Annex A, Item 8: Is the safe securely anchored to the building? Area does not have a safe. Monies are secured in a locked metal cash box, which is kept in a locked file cabinet.
- 2.) Inspection Checklist, Annex A Item 12: Is a memorandum for cash shortages prepared if necessary? Area did not have any reported cash shortages in 2008.
- 3.) Inspection Checklist, Annex A Item 19: Were transfers of counter receipts books/certificates between field commands reported on a CHP 266A, credit memo-non equipment? Area did not transfer any counter receipt books in 2008.
- 4.) Inspection Checklist, Annex A Item 20: Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditures? Area did not have any STD 439, Disbursement Voucher in 2008.
- 5.) Inspection Checklist, Annex A Item 25: Are overages and shortages of the petty cash funds reported to Fiscal Management Section? Area did not have any reported cash shortages in 2008.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 2

Command: Division: Chapter:
Santa Barbara Coastal 4
Inspected by: Date:
Lt. D. F. Lobb, #13154 10/28/08

Commander's Response:	
I concur with the findings of the inspection team.	
Inspector's Comments:	
Area Commander was provided a copy of the inspection report.	
: Recuired Action	
Corrective Action Plan/Timeline	
Area may be required to purchase a safe to store money from pe	etty cash and the change fund.
(Appeal Process). (Appeals shall be filed within five (5) business days of the	pcompleted chapter laspection).
Commander's Basis for Appeal:	
N/A	
Appeal Review/Decision: (This shall be the only level of appeal).	(8)
N/A	
Lead Inspector's Signature:	Date:
Responding Commander's Signature (for appeal):	Date:

INSPECTION PROGRAM

Command:	Division:Coastal	Number:765	
Ventura		α	
Evaluated by: Lt. A.L. Baxter		Date: 12/31/08	
Assisted by: OSS I D. Hirsch		Date: 12/31/08	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers applicable legal statues, or deficiencies noted in the inspections shall be discrepancies and/or deficiencies shall be documented on an Exception Furthermore, the memorandum shall include any follow-up and/or corr the "Follow-up Inspection" box shall be marked and only deficient item.	ons Docume	nt and addre	essed to the	e next level	of command.
TYPE OF INSPECTION		ctor's Signatur		Bat	2,5
=			•	686	,
☐ Office of Inspections ☐ Voluntary Self-Inspection					I Date:
Follow-up Required:	Commande	r's Signature:	1501		Date:
Yes No	O a	is da	1	4	1/409
For applicable policies, refer to State Administrative		•			
Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2,					Я
Chapter 2. 1. Is management actively involved in reviewing and				8	
approving paperwork related to receiving and	⊠ Yes	□ No	□ N/A	Remarks:	£ 140
preparing collections? 2. Does the command have Standard Operating				Demodes	
Procedures (SOP) to provide necessary guidelines	⊠ Yes	☐ No	□ N/A	Remarks:	S
for overall management and accountability of					
receiving and preparing collections? 3. Does the command have adequate separation of					A AMELINA NO.
duties for collections received?		☐ No	□ N/A	Remarks:	
Does the command have adequate separation of duties for the cash receipt process?	⊠ Yes	□No	□ N/A	Remarks:	
5. Is access to the safe and/or vault appropriately				Remarks:	3
restricted?		☐ No	□ N/A	Remarks.	
6. Does a record exists which identifies who has access to the safe and/or vault and when changes in access	⊠ Yes	□No	□ N/A	Remarks:	
occur?					
 Was the lock combination changed when an excess number of employees were aware of the 	⊠ Yes	□No	□ N/A	Remarks:	
combination, transferred out of the Area, or no longer	_	54 - 25			*
requires access?	ļ				
8. Is the safe securely anchored to the building?	⊠ Yes	☐ No	□ N/A	Remarks:	
9. Are weekly transmittal reports prepared in	⊠ Yes	□No	□ N/A	Remarks:	2
accordance with departmental policy? 10. Is the weekly transmittal report(s) submitted to Fiscal	KZ 169				
Management Section (FMS) within five working days	⊠ Yes	☐ No	□ N/A	Remarks:	
following the week covered by the report?					

INSPECTION PROGRAM

11. Does the command submit the following forms with the weekly transmittal when applicable? (1) CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors.	⊠ Yes	□No	□ N/A	Remarks:
(2) CHP 36, Evidence/Property Receipt/Report (Unclaimed Property). (3) STD 634, Absence and Additional Time Worked				* * * * *
Report, for jury duty. (4) CHP 221, Malicious Damage Report. (5) CHP 464, Traffic Control Cost Estimate — Advance Deposit. (6) Civil subpoena.		20	2 6	
12. Is a memorandum for cash shortages prepared if necessary?	⊠ Yes	□No	□ N/A	Remarks:
13. Does the command ensure the information written on the counter receipt is complete and legible?	⊠ Yes	□No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	⊠ Yes	□No	□ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	⊠ Yes	□No	□ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	⊠ Yes	☐ No	□ N/A	Remarks:
17. Is sales tax added to items that are not for resale?	⊠ Yes	□ No	□ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?		□No	□ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	☐ Yes	☐ No	⊠ N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	☐ Yes	☐ No	⊠ N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	☐ Yes	⊠ No	□ N/A	Remarks:
22. Is the CHP 264 properly authorized?	⊠ Yes	☐ No	□ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□No	□ N/A	Remarks:
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	No	□ N/A	Remarks:
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	⊠ Yes	□No	□ N/A	Remarks:

INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	☐ No	□ N/A	Remarks:
28. Are all petty cash purchases under \$50?	⊠ Yes	☐ No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	∑ Yes	□No	□ N/A	Remarks:

Ventura	Division: Coastai	Controls
Inspected by: Lt. A. L. Baxter		Date: 12/31/08

COMMAND INSPECTION PROGRAM	
EXCEPTIONS DOCUMENT	

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if

additional space is required.	x ±				
TYPE OF INSPECTION		Corrective Action Plan Included			
☐ Division Level ☐ Command L	_evel	Appeal included			
Executive Office Level		Attachments Included	* * *		
Follow-up Required:	Forward to: Lt. G. Williams	Commander's Signature:	Date:		
☐ Yes No	Due Date: 12/31/08	Joseph Whille	1/0/09		
Chapter Inspection:					
Inspector's Comments Regar	rding Innovative Practice	es:			
N/A			,		
·		ž.			
Command Suggestions for S	tatewide Improvement:		· · · · · · · · · · · · · · · · · · ·		
N/A	3 56				
Inspector's Findings:		1 g	123		

21. OSS I Hirsch did not realize this was required monthly or quarterly. She only completed this when she need more money. She recently discovered her error and has place a reminder in the monthly suspense file.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Command: `Ventura	Division: Coastal	Chapter: 4, Fiscal Controls
Inspected by: Lt. A. L. Baxter	**************************************	Date: 12/31/08

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Comma	nder's R	esponse:										
											•	41
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											7	
92		5		ĕ			(4)					
				9		(4)			73	Q.		
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			74		×	100		8				
	St.	2 % A ₀	19			100	0			 100000000000000000000000000000000000000		
Inspecto	or's Com	ments:		. N			(0)					
11.15												

Required Action

Corrective Action Plan/Timeline

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Command: Ventura	Division: Coastal	Chapter: 4, Fiscal Controls			
Inspected by: Lt. A. L. Baxter		Date: 12/31/08			

Page 3

	(Appeals shall be filed within five (5) bu	isiness days of the completed cha	apter inspection).
Commander's B	asis for Appeal:		
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Annual Paviow/	Decision: (This shall be the only level of	of annual)	at the second se
Appear Review/	Decision. (This shall be the only level of	л арреал.	N Section 1997
5		190	§
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ä		R P	
9			
Lead Inspector's Signatu	ıre;	Date:	1
	and, it	1/5	109
_ " _ '	r's Signature (for anneal):	Date:	

INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command:	Division:	Number:			
Conejo I.F. Coastal		771			
Evaluated by:	Date:				
Sgt. M. Lamons		10/22/2008			
Assisted by:		Date:			
Linda Windt, Office Tech.		10/22/2008			

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION ☐ Division Level Command Level Office of Inspections Date: Commander's Signature: Follow-up Required: Follow-Up Inspection ☐ Yes ⊠ No For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2. 1. Is management actively involved in reviewing and Remarks: □ No □ N/A approving paperwork related to receiving and preparing collections? Does the command have Standard Operating Remarks: ☐ Yes ⊠ No ∏ N/A Procedures (SOP) to provide necessary guidelines for overall management and accountability of receiving and preparing collections? 3. Does the command have adequate separation of Remarks: Only one clerical position ⊠ No □ N/A duties for collections received? Yes assigned to the command. 4. Does the command have adequate separation of Remarks: See above Yes Yes ⊠ No \square N/A duties for the cash receipt process? 5. Is access to the safe and/or vault appropriately Remarks: ⊠ N/A ☐ Yes No restricted? 6. Does a record exists which identifies who has access Remarks: N/A to the safe and/or vault and when changes in access ☐ Yes □ No 7. Was the lock combination changed when an excess Remarks: \bowtie N/A Yes □ No number of employees were aware of the combination, transferred out of the Area, or no longer requires access? 8. Is the safe securely anchored to the building? Remarks: ☐ No ⋈ N/A ☐ Yes 9. Are weekly transmittal reports prepared in Remarks: accordance with departmental policy? ⊠ Yes No □ N/A 10. Is the weekly transmittal report(s) submitted to Fiscal Remarks: Management Section (FMS) within five working days X Yes ☐ No N/A

following the week covered by the report?

INSPECTION PROGRAM

1	 Does the command submit the following forms with the weekly transmittal when applicable? CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors. CHP 36, Evidence/Property Receipt/Report (Unclaimed Property). STD 634, Absence and Additional Time Worked Report, for jury duty. CHP 221, Malicious Damage Report. 	⊠ Yes	□ No	□ N/A	Remarks: (6) Civil Subpoena – Nine forms were submitted over the 12 months audited.
	(5) CHP 464, Traffic Control Cost Estimate –Advance Deposit.(6) Civil subpoena.				
12	. Is a memorandum for cash shortages prepared if necessary?	☐ Yes	□No	⊠ N/A	Remarks: No cash shortages during time frame evaluated.
	. Does the command ensure the information written on the counter receipt is complete and legible?		□No	□ N/A	Remarks:
	. Was a counter receipt issued for each witness fee deposit received?		□No	□ N/A	Remarks:
15	. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	Yes	□No	⊠ N/A	Remarks: Inspection Facility - wide load details handled through Division Commercial Unit.
	. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	☐ Yes	☐ No	⊠ N/A	Remarks:
17	. Is sales tax added to items that are not for resale?	Yes	☐ No	⊠ N/A	Remarks:
18	. Are all counter receipts pre-numbered and issued in numerical sequence?	⊠ Yes	☐ No	□ N/A	Remarks:
19	Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	☐ Yes	□ No	⊠ N/A	Remarks: No transfers noted
20	Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	⊠ Yes	□No	□ N/A	Remarks:
21	Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	□No	□ N/A	Remarks:
22	Is the CHP 264 properly authorized?		□No	□ N/A	Remarks:
	Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□No	□ N/A	Remarks: Memorandum dated 10/08/2008
24.	Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	☐ No	□ N/A	Remarks:
25.	Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	☐ Yes	□No	⊠ N/A	Remarks:No overages or shortages

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

Chapter 4
Fiscal Controls

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	□No	□ N/A	Remarks:
28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	□No	□ N/A	Remarks:

Additional Remarks:

Conejo Inspection Facility is a commercial scale facility, as such there were minimal collections over the 12 month period evaluated. There were a total of 11 transactions requiring the issuance of a counter receipt. Nine were for witness fees for civil depositions and two were for traffic collisions.

There is only one clerical position, office technician, assigned to the facility. The office technician is directly accountable to the Facility Commander and administers the clerical functions of the inspection facility including the receiving/ preparing collections and cash receipt process. During the months inspected the commander designated the office technician the responsibility of day to day transactions including fund replenishment in accordance with HPM 11.2, Chapter 2.

Change funds and pretty cash funds were not over limits. Each fund was balanced and appropriately utilized. Audits on Calcard, Petty Cash, Change Fund and 78X Log are conducted quarterly by the commander.

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
Conejo I.F.	Coastal	Four
Inspected by:		Date:
M. Lamons, #	12339	10/22/2008

INSTRUCTIONS: This document shall be typed. Check appropriate be number of the inspection in the Chapter Inspection number. Under "For shall be routed to and its due date. This document shall be utilized to dimprovement, identified deficiencies, corrective action plans, and may additional space is required.	prward to:" enter the next level of command wher document innovative practices, suggestions for s	e the document tatewide
TYPE OF INSPECTION	Corrective Action Plan Included	
☐ Division Level ☐ Command Level	Appeal Included	
Executive Office Level	Attachments Included	
Follow-up Required:	Commander's Signature:	Date:
☐ Yes ☑ No Due Date:		
Chapter Inspection:		
Inspector's Comments Regarding Innovative Practice	Control of the contro	
each week. Commands having minimal transactions send a negative report (no collection) electronically. record and audit purposes.	such as inspection facilities should I	oe allowed to command for
Command Suggestions for Statewide Improvement:	Ne A. William	
Inspector's Findings:	Consider the state of the state	

Due to the duties and number of personnel assigned to the Conejo Inspection Facility there are minimal collections and number of cash transactions. Over a twelve month period there were 11 transactions with nine for witness fees for civil depositions and two were for traffic collision reports. The majority of CHP 230, Transmittal Records, sent to Fiscal Management Section show no collection. The facility has one clerical position, an office technician, who is assigned by the commander to perform the responsibilities of the day to day transactions. The office technician is responsible for receiving and preparing collections and although these duties are not separate they are under the direct supervision of the commander or his designee.

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
Conejo I.F.	Coastal	Four
Inspected by: M. Lamons	—	Date: 10/22/2008

Page 2

Commander's Response:

Inspector's Comments:		

Required Action

Corrective Action Plan/Timeline

Memorandum

Date:

November 7, 2008

To:

Santa Barbara Area

From:

DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

Santa Barbara Area

File No.:

760.13154

Subject:

CHAPTER 3 INSPECTION. COMMAND PROCUREMENTS.

On November 7, 2008, Lieutenant Dane Lobb, #13154, conducted a Command Procurements inspection. This inspection is divided into four sections.

Section 1, Purchases.

Area is in compliance with the purchase policy outlined in HPM 11.2, Chapter 7. Question #2 on page 3-7 states: Have Approvers/reviewers of purchases received procurement training? No formal Departmental training has been provided. Training has come from in house staff and from on the job training.

Section 2, Cal-Card Program.

No small business or disabled/veterans business enterprises are available in the area for items which are needed and or purchased by Area.

Section 3, X-Number Program.

Coastal Division maintains a file with all of the STD. 204 Payee Data Records.

Section 4, Contracts.

All contracts are current and procedures followed with regard to the completion and processing of CHP 78's.

No problems or concerns were noted during this inspection.

D. F. Lobb Lieutenant

Attachments

ANNEX A INSPECTION CHECKLIST – PURCHASES

DEPARTMENT OF CALLFORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM	Suleatey: U	BB	DASTA-L	Date: 17 OF Cate:
INSTRUCTIONS: Answer individual items with "Yes" or "No" answers applicable fegal statues, or deficiencies noted in the inspections shall discrepancies and/or deficiencies shall be documented on an Exception Uniformer to the Exceptions Document shall include any follow-up an inspection, the "Follow-up inspection" box shall be marked and only d	pe commen ons Docume d/or correct!	ent and addr live action(s)	essed to the taken. If the	e next level of command.
TYPE OF INSPECTION ☐ Division Level ☐ Command Level	Lead Inste	San's Gignate	irë:	
Executive Office Level Voluntary Self-Inspection Follow-up Required:	Convince	rs signature	11	Date: 12. 64
☐ Yes		- Ny		11/26/08
 Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing? 	'【【Yes	□ No	□ N/A.	Remarks
Have Approversireviewers of purchases received procurement fraining?	⊠ Yes	□ No	□ N/A	Remarks: IN HOUSE TNG
 Are prohibited items produced on CHP 43, Purchases Requisitions? 	Yes	Μίνο	□ N/A	Remarks:
 Supplies for personally – owned equipment Commodilles for personal use Confirming order Purchases via the Internet 				4
 Are separate CRP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts? 	⊠ Yes	□No	□ N/A	Ramarks:
 Is all required information entered on the CHP 43, Purchase Regulsition? 	⊠ Yes	□Na	□NïA	Remarks
 Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)? 	X Yes	□No	□N#A	तिस्तावर्षिकः
 Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval? 	j}√es	□ No	□ N/A	Remarks.
	L			

ANNEX A INSPECTION CHECKLIST – PURCHASES (continued)

TATE OF CALIFORNIA				
INSECTION OF CHIFORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAI VSPECTION CHECKLIST CHARGET 3, COMMAND PROCUREMENTS TURCHASES	M		27	
Do specialized Items purchased confain th appropriate Division, and/or OPI approvals	e ? (1 Yes	□ No	□ N/A	Remarks:
 Are the CHP 43, Purchase Requisitions, competitively bid? 	⊠ Yes	□No	□ NFA	Remarks
10. Does the CHP 315, Price Comparison Wood document at least two price quotations?	ksheet. 🗖 Yes	□No	□ N/A	Remarks:
 Are Limited Competitive Bidding purchase that limit or restrict the purchase to one spondor model justified and in compilance 3555? 	edific 🔯 Yes	□ No	□ N/A	रिशावर्रद.
 Are Limited Competitive Bidding purchase for items that interface with existing depart equipment in compliance with SAM 3555.3 	mental 🔀 Yes	□N□	□N/A	Remarks:
19. Do Non-Competitive Bid (NCB) purchase recontain the NCB Justification and NCB Con Action Plan documents?		□No	□ NÆ	Remarks:
14. Are items checked immediately for content damage when delivered?	and Myes	□ No	□ N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fish Management Section (FMS), Account Pay within three business days of receipt, if all accepted?	cat XYes able Unit,	□ No	□ N/A	Remarks
 Are freight and/or packing slips attached to received copy of the purchase order and s FMS? 		☐ N35	□NIA	Remarks
17. Is FMS provided a photocopy of the purch and any approved freight or packing slips acknowledgement that a portion of the ord been received?	35 X Yes	□No	□N/A	Remarks:
 is the original "received copy" retained by command fur completion and forwarding to when the complete shipment is received? 	the othe FMS Yes	□No	□ N/A	Remarks:
19. Are <u>Damaged liters</u> delivered by common acknowledged on the freight bill by the car before being accepted?		□No	□ N/A	Remarks:

ANNEX A INSPECTION CHECKLIST – PURCHASES (continued)

NSPECTION CHECKLIST Chapter 3, Command Procurements Purchases 20. Is Purchasing Services Unit (PSU) notified Immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the regulstion or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	A.Yes	□ No	□ N/A	Remarks:	
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	Ø-Yes	☐ 14°	□ N/A	Remarks:	
 Are copies of the purchase requisitions and purchase orders maintained for fifree years after payment? (SCM Vol. II, Ch. 11, Topic 4) 	É √es	□ No	□NIA	Reznanks:	
 Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11) 	Yes	. □ No	□ N/A	Remarks:	
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	\$110	□ NIA	Remarks:	
				w3	

ANNEX B INSPECTION CHECKLIST – CAL-CARD PROGRAM

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST Chapter 3, Command Procurementa	B C D F	Log	n: ASTAL	Date:	08
INSTRUCTIONS: Answer individual items with "Yes" or "No" answers applicable legal statues, or deficiencies noted in the inspections shall discrepancies and/or deficiencies shall be documented on an Except Furthermore, the Exceptions Document shall individe any follow-up an Inscention, the "Follow-up Inspection" box shall be marked and only d	ons Docume	nt and addr	essed to th	e next level of comm	nand.
TYPE OF INSPECTION Division Level Command Level Executive Office Level & Voluntary Self-Inspection	Lead Inepe) w			
Follow-up Required: Sollow-up Inspection	Comrand	rs Sipysture		Date:	126/08
For applicable policy, refer to: HPM 11.2, Chapter 3		0			
 Are all employees associated with the use of the Cal- Card program completing the CHP 78S. Conflict of Interest Statement. Employee. form? 	% Yes	□ No	□N/A	Remarks	
 Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?) €Q Yes	□No	□ N/A	Remarks	
 Are STD, 204 Payee Data Record forms mointained in the Cal Card command file for each vendor utilized? 	ĭXYes	□No	□N/A	Remarks:	
4. Are California Integrated Wasie Management Board Form 74 documents maintained for each vendor utilized?	X Yes	□ No	□NĭA	Remarks:	
 If the vendor is a small business or DVBE is utilized. Is the certification letter from the Department of General Services maintained in the file? 	☐ Yes	□ No	⊠ N⁄A	Remarks:	LLABLE
8. When fair and reasonable is utilized, is the fair and reasonable method documented and property justified?	Ø X €es	□No	□N/A	Remarks:	
 Are purchases split into multiple transactions in order to circumvent transaction purchase limits? 	Yes	Ď Z No	□ N/A	Remarks:	
 Does the CHP 317 Cat Card Log fully describe the purchase? 	Yes	. □ No	□ N/A	Remarks:	
Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	≯ Yes	□N□	□N/A	Remarks	

ANNEX B INSPECTION CHECKLIST – CAL-CARD PROGRAM (continued)

			Page 2 of 2
Yes	□No	□NïA	Remarks:
★ Yes	□ №	□N/A	Remarks
À Yes.	□No	□ NÆ	REMINISTE LOCKED IN BOX
Ø Yes	□ No	□ N/A	Remarks:
✓ Yes	□ No	□NÆ	Remarks
Yes	No	□ N/A	Remarks:
	★ Yes ✓ Yes ✓ Yes	Yes No	Yes No NA Yes No NA Yes No NA Yes No NA

ANNEX C INSPECTION CHECKLIST – X NUMBER PROGRAM

INSPECTION CHECKLIST	BC slee By: F	Gylei 61 1088	ETAL	Date:
INSTRUCTIONS: Answer individual items with "Yes" or "No" answers applicable fegal statues, or deficiencies noted in the inspections shall in discrepancies and/or deficiencies shall be documented on an Exception Furthermore, the Exceptions Document shall include any follow-up and Inspection, the "Follow-up Inspection" box shall be marked and only di	ns Cocument of Cocume	ied on via ir int and addr ive action(s)	essed to the taken. It is	e next level of command.
TYPE OF INSPECTION Division Level Executive Office Level September 1 Type of Inspection	Lead Inspé	Sole Diguate	el	_
Follow-up Required: Follow-up Inspection Yes Mo	Command	13	u	11/24/08
For applicable policy, refer to: HPM 11.1, Chapter 23 1. Are multiple X Numbers awarded to the same vendor to directivent the \$4,999 contract limit?	Yes	ĭŅ₀	□ N/A	Remarks
Does all X Number file documentation contain the STD. 204 Payee Data Record?	X Yes	☐ No	□ N/A	SEE DIVISION
 Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Susiness Services Section commander? 	X Yes	□No	□ N/A	Remarks
4. Are X Number requests made prior to the date the services are performed?	M Yes	□ No	□ N/A	Remarks:
5. Are X Numbers issued for a one-time use?	A Yes	□ No	□ N/A	Remarks:
Are prohibited services performed using an X Number?	Yes	Ďίγο	□ N/A	Remarks:
 Are X Numbers used for the procurement of a service and not the purchase of a commodity? 	ÆÎYes	□N□	□ N/A	Remarks:
 Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section? 	Æ! Yes	□ No	□NiA	Remarks.
 Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section? 	ĕYes	□Ne	□ N/A	Remarké:
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	Yes	□ tNo	□ N/A	Remarks:

ANNEX C INSPECTION CHECKLIST – X NUMBER PROGRAM (continued)

STATE OF CALIFORNIA				Page	2 of 2
DEPARTIMENT OF CALIFORNIA HIGHWAY PATROL					
COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST					
Chapter 3, Command Procurements					
X-Number Program				250-	
11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	(NYes	□ No	□N/A	Remarks:	
	LIEUT				
 Do all X Numbers awarded to a small business vendor contain the small business cartification from the Department of General Services (DGS)? 	Yes Yes	☐ 14p	□ N/A	Remarks:	
 Does the file documentation contain the STD-21 Drug Free workplace certification for X Number vendors? 	♣ Yes	□ No	□N⁄A	Remarks:	
14. Do emergency service X Numbers document and		- 178			
justify the emergency?	⊠ (Yes		□ N/A	Remarks:	
15. Is the itemized invoice for each X Number service maintained in the command's files?	Yes	□No	□ N/A	Remarks:	
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ANNEX D INSPECTION CHECKLIST -- CONTRACTS

STATE OF CALFORNIA DEPARTMENT OF CAUFORNIA HIGHMAY PATROL COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST Chapter 3, Consmand Procurements Contracts	BC D.F.	Con	7°57°19-C	Coale:
INSTRUCTIONS: Answer individual items with "Yes" or "No" answers applicable legal solviers, or deficiencies noted in the inspections shaft discrepancies and/or deficiencies shall be documented on an Exception for the Exceptions Document shall include any follow-up are inspection, the "Follow-up inspection" box shall be marked and only defined.	pe commen ans Docume Not comed	rection via ir ent and addir v= action(s)	essed to that taken. If t	he next level of command.
TYPE OF INSPECTION Division Level Division Level Executive Office Level The Executive Office Level	Lead Inspe	York Signatu		
Follow-up Required: Follow-up Inspection Yes No	Commards	SLIGHTERUFE	Ill	11/26/E
For applicable policy, refer to: HPM 11.1, Chapter 22		0	((
 Is a CHP 78 Contract Request used to initiate at service contracts which are repetitive, regardless of the estimated dollar value? 	☐ Yes	b old €	□ N/A	Remarks:
2. Is a CHP 78 Contract Request used for one-time services exceeding \$4.999.99?	ǶY€s	☐ No	□ N/A	Remarks:
 Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? 	MYes	□ No	□ N/A	Remarks
4. Is the performance of contract services monitored and documented?	[X Yes	□ No	□ N/A	Remarks:
5. Are all copies of correspondence with the vendor maintained?	K Yes	□No	□ N/A	Remarks
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	X Yes	□No	□ N/A	Remarks:
 is the final product to be delivered described specifically and in as much detail as possible in the CHP 78? 	⊠ Yes	☐ No	□N/A	Remarks:
 Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1. Chapter 22, before forwarding the CHP 78 or CHP 78A? 	Ø Yes	□ Na	□N≀A	Remarks:

ANNEX D

INSPECTION CHECKLIST - CONTRACTS (continued)

			5000	Page	2 of 4
TATE OF CALFORNIA PERATIMENT OF CALFORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM NSPECTION CHECKLIST Chapter 3, Command Procurements contracts					
 Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing? 	Kyes	□ No	□NīA	Remarks:	
10, is all work completed and accepted by the Department before expiration of contract agreement?	Yes	□ 1/0	□ N/A	Remarks:	
11. Are contract services performed according to the quality, quantily, objectives, timeframes, and in the granner specified in the contract (e.g., review progress reports and interim products)?	Yes Yes	□ No	□N/A	त्रकावस्यः	
12. Are involves for payment reviewed and approved to substaniiate expenditures for work performed and to prevent penalties being assessed?	X	□ No	□ N/A	लेखावराह.	
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	Yes	□N□	□ NÆA	Remarks:	
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	1 Yes	□ No	□ N/A	Remarks:	
15. Is the final invoice Identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	X Yes	□ No	□ N/A	Remarks.	
18. Are all applicable form sections of the CHP 78 completed?	Yes	□Na	□N/A	Remarks:	
17. Be emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	Yes	□ No	□N/A	Remarks:	
18. Are all employees associated with the management of a contract completing the CHP 78S. Conflict of Interest Statement, Employee, form?	Yes	□No	□ N/A	Remarks:	
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	Yes	☐ 12o	□ N/A	Rетака:	
20. Are contract amendment request dollar amounts Increased more than 30%?	Yes		□ N&A	Remarks:	

ANNEX D

INSPECTION CHECKLIST - CONTRACTS (continued)

				Page 3 of 4
RECE CALFORMA ARTIMENT CE CALFORMA HIGHMAYPATROL MMAND INSPECTION PROGRAM PECTION CHECKLIST Apter 3, Command Procurements Intracts				
21. Is the length of the contract amendment request more than one year?	Ď Yes	□ No	□ N/A	Remarks:
Are amendments requested before the expiration of the original contract?	Yes	□ No	□ N/A	Remarks:
 Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conterence room rental which is expected to exceed \$4,999.99 in total cost? 	I € Yes	∏ No	□N/A	Remarkš:
 Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff? 	Yes	□ No	□ N#A	Remarks
25. Are California Department of Justice (BOJ) and Federal Bureau of Investigation (FBI) <u>Indeporting the oks and driver license checks</u> conducted for all of the following types of agreements: (3) Aviotics Maintenance and Repair (4) Helicopier Maintenance and Repair (5) Instructor Services (orEIE) (4) Janitonal Services (5) Consulting Services	Yes	<u></u> No	□ N/A	Remarks:
25. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Asim and Fite Atara Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Distraction Maintenance and Repair (5) Distraction Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fite Edinguished Service (8) Garage Goor Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Hailing, Vertication, and Air Conditioning Service (11) Note Machine Haintenance and Repair (12) Painting Services (interior of facility) (14) Plumbing derivides (15) State Maintenance and Repair (16) Stam Cleaning Services (Carpet not scales) (17) Telephore Services (Celludar, satellute, and regular) (18) Teleybore Services (Celludar, satellute, and regular) (19) Teleybore Services (Celludar, satellute, and regular) (19) Upiolemyribite Power Supply Maintenance and Repair	(Stres	□No	□ N/A	Респанк

HPM 22.1

ANNEX D

INSPECTION CHECKLIST – CONTRACTS (continued)

					Page	4 of 4
1	STATE OF CALFORNIA DEPARTMENT OF CAUFORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST Chapter 3, Command Procurements Contracts					
	27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	₩ Yes	□ No	□N≀A	Remarks:	
	28. Is GSU advised by the command to determine it adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	Yes	□ No	□N/A	Remarks	
-	20. Are all involces, records, and relevant documentation maintained for three years after the final payment of the contract?	X Yes	□Na	□N/A	Remarks;	
	30. Is a log sheet maintained for a diary of activities related to the contract?	∑ i Yes	□ No	□N/A	Remarks:	
-	31. Is a computer file prepared for all contracts administered?	述 Yes	□No	□N/A	Remarke:	
-	32. Is a spreadsheet prepared listing all expenditures?	M Yes	□Na	□N⁄A	Remarks:	
Ī	33. Is the notification to the contractor documented for the start date for services to begin?	Yes	☐ No	□ N/A	Remarks:	
	34. Is the contractor contacted to determine if all involces have been received in order to oversee the completion of the contract?	▼ Yes	□ Na	□N/A	Remarks:	
-	 Do consultant services contracts of \$1,000 or more contain detailed performance orderia and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1) 	(A) Yes	□ No	□ N/A	Remarks:	
-	36. Does the contract file contain the STD, 4 Contractor Evaluation form for consultant contracts? (SCM Vol. 1, Ch. 3, Section 3.02.5)	Yes	□ No	□ N/A	Remarks:	
ŀ	 Ooes Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09) 	Yes Yes	□No	□NIA	Remarks:	
	 Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GO 19130 & SCM Vol. 1, Ch. 7, Section 7.05) 	Yes Yes	□ No	□N/A	Remarks:	
-	 Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09) 	☐ Yes	ЮND	□N/A	Remarks:	